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ABSTRACT

In this report detailed summaries are provided of 108 Federal programs set up to provide funds for individual projects in elementary and secondary education, postsecondary education, and special categories (bilingual and minority education, special education and rehabilitation services, vocational and adult education, and educational research and development). Information presented for each program includes: (1) the legislative basis for Federal funding; (2) a brief funding history; (3) description of goals and objectives; (4) a review of program operations; (5) analysis of program scope and participation; (6) a report on outcomes, effectiveness, and progress; and (7) listings of ongoing and planned evaluation studies, sources of evaluation data, and names of persons to contact for further information. The volume's appendix includes brief descriptions of active 1981 contracts for evaluation of specific programs; descriptions of evaluability assessments of eight programs (discussions as to how they might be made more accountable and how they might be evaluated); and brief reports on rapid-feedback evaluations of two programs. (MJL)

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ANNUAL EVALUATION REPORT

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Volume II
Fiscal Year 1981

UD 022 215

U.S. DEPARTMENT OF EDUCATION
Office of Planning, Budget, and Evaluation

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FOREWORD

This 11th annual report to Congress on Federally funded education programs is the second such report submitted by the Department of Education. Most of the programs described were transferred from the former Office of Education to the new Department of Education in May 1980, and have been reviewed in previous editions of the annual report. Described for the first time in this series, however, are many of the programs also transferred at that time to the Department from other Federal agencies as a result of the Department of Education Organization Act. In reviewing all these programs, the report responds to Congressional mandates in Section 417(a) of the General Education Provisions Act, in Section 1246 of the Education Amendments of 1978 (Public Law 95-561), and in Section 1305 of the Education Amendments of 1980 (Public Law 96-374).

A two-volume format is adopted for the second consecutive year in order to respond to the specific needs of report users. Some readers have a general interest in the evaluation of Federal education programs and in what is known about their operations and effectiveness. Other readers require detailed information on specific programs. Volume I of the Annual Evaluation Report is directed to the first category of users, and Volume II is intended for the second category and to meet the legislative mandates referred to above.

Thus, Volume I provides an overview of education evaluation activities in the Department of Education, describes innovative information - gathering and evaluation techniques and management initiatives which will better utilize evaluation findings, presents the highlights of findings from specific studies, and describes evaluation activities in the Office of Management during fiscal year 1981. Volume I is intended for general distribution. Volume II contains detailed program-by-program summaries of available information, as well as an Appendix on evaluation contracts active during fiscal year 1981, and an Appendix on evaluability assessments and rapid-feedback evaluations. Volume II is intended for distribution to appropriate Congressional committees and, on request, to other interested readers.

Program descriptions in Volume II are divided into three major areas: Elementary and Secondary Education; Postsecondary Education; and Special Category Programs. The information reported is current as of June 30, 1981, which is the date by which drafts of program chapters were completed. Subsequent revisions were largely editorial in nature and did not necessarily include budgetary, legislative, program and evaluative data subsequent to that date. Information for each program includes:

- a brief funding history,
- a description of goals and objectives,
- a review of program operations,
- an analysis of program scope,
- a report on program effectiveness and progress,

- a listing of ongoing and planned evaluation studies,
- a listing of sources of evaluation data, and
- a list of contacts for further information about program operations or program effectiveness.

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A.

EVALUATION OF ELEMENTARY AND SECONDARY EDUCATION PROGRAMS

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Education of Disadvantaged Children

Legislation:

Title I of the Elementary and Secondary Education Act of 1965, as amended, by P.L. 95-561, Part A "Programs Operated by Local Educational Agencies"

Expiration Date:

September 30, 1982 [1]

Funding History:	Year:	Authorization:[2]	Appropriation:[2]
	1966	$ 1,192,981,206	$ 959,000,000
	1967	1,430,763,947	1,053,410,000
	1968	1,902,136,223	1,191,000,000
	1969	2,184,436,274	1,123,127,000
	1970	2,523,127,905	1,339,050,900
	1971	3,457,407,924	1,500,000,000
	1972	4,138,377,672	1,597,500,000
	1973	4,927,272,941	1,810,000,000
	1974	4,182,509,627	1,719,500,000
	1975 [3]	7,954,872,444	3,776,000,000
	1976 (FY77)	4,692,511,963	2,050,000,000
	1977 (FY78)	4,660,666,596	2,285,000,000
	1978 (FY79)	5,075,334,514	2,735,000,000
	1979 (FY80)	5,680,447,238	3,228,382,000
	1980 (FY81)	6,291,969,913	3,215,343,000
	1981 (FY82)	7,047,423,325	3,104,317,000
	1982 [4]	3,480,000,000	

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[1] Chapter 1 -- "Financial Assistance to Meet Special Educational Needs of Disadvantaged Children" -- of the Education Consolidation and Improvement Act of 1981 (ECIA) is scheduled to take effect on October 1, 1982. Changes to Title I of ESEA that will occur when this new Act is implemented are discussed throughout this chapter.

[2] The authorization and appropriation levels reflected in these columns pertain to the entire Title I program, and include grants to LEAs (Part A programs), concentration grants and State administered (Part B) programs, viz. the Migrant Education Program and the Program for Neglected and Delinquent Children. The authorizations and appropriations for Part A programs are shown in Table 1. Funding for each Part B program is reported in the respective chapters on those programs.

[3] Commencing in 1976 the program became advance-funded from the prior year's appropriation bill. This resulted in a doubling-up of funding in 1975.

[4] Budget authority established for ESEA Title I, under Section 513(a) of the Omnibus Education Reconciliation Act of 1981.

Programs Goals and Objectives:

Section 101 of Public Law 89-10, "The Elementary and Secondary Education Act," as amended in 1978 by Public Law 95-561, states:

> "In recognition of the specific educational needs of children of low-income families and the impact that concentrations of low-income families have on the ability of local educational agencies to support adequate educational programs, the Congress hereby declares it to be the policy of the United States to provide financial assistance ... to local educational agencies serving areas with concentrations of children from low-income families to expand and improve their educational programs by various means (including preschool programs) which contribute particularly to meeting the special educational needs of educationally deprived children."

Section 124, which states the requirements of local district programs, specifies under (a) "Purpose of Program" that a district may use Title I funds only for programs "designed to meet the special educational needs of children ..." and must include in its project evaluation "objective measurements of educational achievement" (subsection (g)). Additional emphasis is given to educational goals and instructional services to meet those goals in Section 124 (f, 2), which prohibits the use of Title I funds for health, social, or nutrition services unless the district has requested help from the State in locating and using other sources of funds for those services and has been unable to find any. Implementing these legislative provisions are regulations requiring the development of educational objectives and instructional strategies to achieve those objectives (Section 201.105, *Federal Register*, Volume 46, No. 12, January 19, 1981, p. 5173).

Program Operations:

The operations of Title I are clearly specified in the law and accompanying regulations, and are described below in terms of eight major activities: (1) the allocation of funds to districts, (2) the identification of eligible schools, (3) the selection of eligible students, (4) the provision of services to them to meet their needs, (5) the documentation that Title I services do not replace those they are already entitled to (from district, State, or other Federal programs), (6) inclusion of important groups such as parents in decision-making, (7) evaluation of the efforts, and (8) guidance and monitoring from the State on the program components described above. Each of these eight major activities is described briefly below in terms of the legislation. In addition, changes to these sections made in the *Education Consolidation and Improvement Act of 1981* (ECIA) are discussed. A discussion of how well State and local education agencies have achieved the objectives of each activity area is provided in the major section "Program Effectiveness and Progress."

1. Funds allocation

There are two types of grants to districts: Basic and Concentration.[5] As might be expected given the purpose of this program to assist local agencies with concentrations of students from poverty backgrounds (see above), the allocation of funds for Basic Grants to districts is based on a formula which incorporates, as one of its elements, counts of children from poor families living within their boundaries. The other element is the State's average per-pupil expenditure (or 80% or 120% of the Nation's average per-pupil expenditure if a State's average falls outside this range).

Specifically, a district is authorized under Section 111 of Title I to receive a grant equal to:

40% times the number of students aged 5-17 from families in poverty living in the district plus the number of students from local institutions for the neglected, or delinquent, or in foster homes (Section 111, c) times the State's average per-pupil expenditure (or 80% or 120% of the Nation's average per-pupil figure, as noted above)(Section 111, a, 2A).

A family is defined as "in poverty" for the purpose of the above counts if its income meets either of two conditions: (1) the income falls below the Census Bureau's criterion for poverty measured by the Orshansky index (Section 111, c, 2A) or (2) the income exceeds that criterion due to the receipt of AFDC payments (Section 111, c, 2B).[6]

It is clear that Census data are crucial to the workings of the formula and the law contains several provisions to overcome problems this poses. For example, in cases where Census data describe a geographical unit other than school districts (usually counties), the grant is computed by the Federal agency for those other units, and the State is responsible for distributing the funds to districts (often called "sub-county allocations") (Section 111, a, 2B). Also, since Census data are collected infrequently, there are provisions for computing district allocations on more recent data if the district's population has changed drastically (Section 111,a, 3D).[7]

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[5] A third category of grants, Incentive Grants, has remained unfunded and will not be discussed in great detail.

[6] Section 111, c, 1B provides, however, that grants for FY 79 could count only 2/3 of those children whose families met this second condition, making the formula for grants that year the same as before the Education Amendments of 1978.

[7] An additional funding complication requires that 1/2 the funds in excess of the national FY 79 appropriation be distributed to States and districts on the basis of the number of children in families below 50% of the national median income for a family of four (according to the 1975 Survey of Income and Education). The remaining half of the excess over the FY 1979 level is distributed according to the formula described above.

The formula and provisions for collecting the various possible data are used to determine the size of the grant a district is entitled to receive. When appropriations for the Title I program as a whole are insufficient to fund all the grants as computed, however, the Part B programs to State agencies (for migrant, neglected/delinquent, and handicapped programs) are fully funded, certain set-asides are computed, and the remainder is distributed as Part A Basic Grants (in proportion to each district's entitlement). Section 193(a) provides, however, that no district shall receive, due to this "ratable reduction," a grant which is less than 85% of the one it received the previous year.

Section 117 provides for a second type of grant, the Concentration Grant. The purpose of such a grant is "to provide more effective programs of instruction, especially in the basic skills of reading, writing, and mathematics, to meet the special educational needs of educationally deprived children" in districts whose counties have especially high concentrations of children from families in poverty (Section 117, a). To qualify, a district's county must have 5,000 or more students counted for the purpose of determining the size of its Basic Grant (Section 111, c) or have 20% or more of its students be those so counted. The size of a district's or county's Concentration Grant is the same proportion of the national total appropriated for Concentration Grants that year as the area's Basic Grant is to the national total of Basic Grants. The Concentration Grant is viewed as a supplement to the Basic Grant, to be used as described in the district's project application approved by the State.

A third type of grant to districts is the Incentive Grant authorized in Section 116 of Title I. A district's eligibility for an Incentive Grant depends on whether its State has a compensatory education program which (1) serves only educationally deprived children, (2) has performance objectives related to educational achievement and evaluates projects acccording to them, (3) provides supplementary services to meet special educational needs of participants, (4) keeps and makes available necessary records, (5) is closely monitored, and (6) distributes at least 50% of its funds within a district to schools serving high concentrations of students from poor families (Section 116, a, 2). However, Incentive Grants have remained unfunded through 1982.

To summarize, a district's Basic Title I grant (and its Concentration Grant if that subprogram has been funded that year) is based on its numbers of students from families in poverty and the per-pupil expenditures for its State. The law also contains several provisions for updating the counts or adjusting for drastic shifts in population.

Chapter I of the "Education Consolidation and Improvement Act" maintains the same basic provisions for funds allocation as ESEA, Title I (with some modifications to the funding levels of State-administered Part B programs).

2. Identification of eligible schools

Once a district receives its Title I allocation it must rank its attendance areas on the basis of the concentrations of children, aged 5 to 17, in those areas who are from low-income families. In making this determination, a district can use any or all of a number of measures (Census counts, AFDC, free lunch, housing, health, etc.) if approved by the State.

There are several alternative ways to do these rankings. One can simply order the areas, or use variations: apply the 25 percent rule, meaning that any school with 25% or more of its students from poverty backgrounds can be designated a Title I school as long as certain funding constraints are met (Section 122, a, 1); serve previously eligible attendance areas (Section 122, c); use eligibility by actual enrollment (Section 122, b); or, serve lower ranked areas having a greater incidence of educational deprivation (Section 122, a, 2A).

An assessment must be made of the special educational needs of children residing in eligible attendance areas (called a needs assessment) to: (1) identify the educationally deprived children, (2) identify the general instructional areas for the program to focus on, and (3) diagnose the specific needs of children (Section 124, b).

Chapter I of the "Education Consolidation and Improvement Act" will revise these procedures when it becomes effective. School districts will be eligible to receive funds if they provide assurances in their grant applications to the State agency that projects are conducted in "attendance areas ... having the highest concentrations of low-income children or are located in all attendance areas of an agency which has a uniformly high concentration of such children, (Section 556b, 1, A and B) or are designed to utilize part of available funds for services which promise to provide significant help for all such children served by an agency (Section 556b,1,C). An annual assessment of educational needs which identifies educationally deprived children, permits selection of those with the greatest needs and determines the needs of participating children is also required (Section 556b, 2).

3. Selection of students to participate

Once the eligible attendance areas and general instructional areas of emphasis have been identified, the district must select students to participate who show the greatest need for those services (Section 123, a). In general this means serving the neediest students, but there are also provisions for continuation of services to educationally deprived children no longer in greatest need (Section 123, b); continuation of services to educationally deprived children transferred to ineligible areas in the same school year (Section 123, c); skipping children in greatest need who are receiving services of the same nature and scope from non-Federal sources (Section 123, d); and serving all students (in a schoolwide project) if the school has 75% or more of its students from families in poverty and contributes funds from its own sources to the special compensatory program (Section 133).

As described above, ECIA maintains the policy of serving the neediest children, but allows for programs which will, in part, serve all children.

4. Provision of services to meet special educational needs of participating students

As noted above, Title I services are primarily instructional in nature. Health, social, or nutritional services can be provided if the district has requested State help in finding other ways to support them but has been unable to locate such other sources of funding (Section 124, f, 2). The services must be of sufficient scope to show promise of remediating student needs (Section 124, d), be coordinated with services from other sources (Section 124, f), show consideration for sustaining student gains (Section 124, k), and whenever possible, be guided by a plan developed for each student (Section 129). Services must be available to students in public and non-public schools of the attendance areas identified as eligible (Section 130).

The requirements of sufficient size and scope, evaluations examining sustained gains and availability of services for non-public school students are maintained in ECIA (Sections 556b, 3 - 5).

5. Documentation by the district that Title I services do not replace those to which students are already entitled

The presence of Title I funds in a district should not diminish the services available to students from other sources of funds. Specifically, the amount of resources devoted per-pupil to education in the local agency must equal or exceed those expended the year before (maintenance of effort (Section 126, a)). If for some unforeseen reason, this cannot be the case, the district can get a waiver from the requirement, but only for one year. Furthermore, Title I funds can be used only for services which exceed the average per-pupil expenditure in a district (excess costs (Section 126, b)). Similarly, services supported by State and local funds in Title I schools cannot differ from the amount supported on the average in non-Title I schools by more than 5% (comparability of services (Section 126, e)). For individual students, the Title I services must be extra to those provided from non-Federal sources ("supplement, not supplant" (Section 126, c)). In some special instances, costs and services for State and local compensatory programs -- or for programs being phased in to restructure education in a district to meet needs of educationally deprived students -- may be excluded from the various computations (Sections 126, d and 131)). Sites offering school-wide projects need not comply with all the fiscal requirements as long as certain other conditions are met (Section 133).

Provisions regarding supplement, not supplant, maintenance of effort and comparability of services are provided in ECIA, but in general grant districts and States greater flexibility in applying these provisions.

6. Inclusion of important groups in decision-making

The Title I law specifies requirements for local and State activities as noted above but also requires that teachers and school boards be included in the planning and evaluation of the effort (Section 124, i). Similarly, parents of participating children must be informed of the program's goals and their children's progress as well as make recommendations and assist in helping their children (Section 124, j). Parent involvement is required in a formal sense, also, in the establishment and operation of Parent Advisory Councils. Each district, as well as each school having one or more FTE Title I staff and more than forty Title I participants, is required to have such a Council with a majority of the elected members being parents of Title I participants (Section 125).

Under the "Education Consolidation and Improvement Act," a district will no longer be required to have Parent Advisory Councils, but may continue those Councils if it wishes to do so.

7. Evaluation of the effectiveness of the services

Districts must evaluate the effectiveness of their programs in meeting the special educational needs of participating students according to a schedule approved by the Department which ensures that each year the State's evaluation report is representative of efforts in the State (Sections 124, g and 183, b). These required evaluations must include "objective measures of educational achievement" (Section 124, g, 2), be structured according to one of three evaluation models or an approved alternative (Section 183, d and 45 CFR Sections 116a.170 - 116a.177), and include a measure of sustained achievement over longer than twelve months (Section 124, g, 2).

ECIA will require districts to evaluate projects "in terms of their effectiveness in achieving the goals set for them, and that such evaluations shall include objective measurements of educational achievement in the basic skills and a determination of whether improved performance is sustained..." (Section 556, b, 4).

8. Administration of Title I by State agencies

Several requirements of local districts in their design and conduct of Title I are described above. The responsibility for ensuring that districts comply with the law and regulations falls on State educational agencies. Specifically, the law provides for State approval of district applications, rule-making, technical assistance, monitoring, withholding of funds, program audits, and audit resolutions (Sections 164-170 of Title I). To perform these duties, a State is authorized by Section 194 to use up to 1.5% of the total grants received by districts and agencies in the State (or $225,000, whichever is more).

The "Education Consolidation and Improvement Act" will enact substantial changes in the nature of the State role and responsibilities for overseeing compensatory education programs. State agencies "shall" approve local applications if the program assurances described earlier are provided. States must keep records and provide information to the Secretary as needed for fiscal accountability and program evaluation. However, the role of States in monitoring and enforcing local programs is greatly reduced (Section 596, a), and the State administrative set-aside will be reduced to a maximum of 1% of the total grants received (with a minimum payment of $225,000 per year). (Section 554, d)

The remainder of this Chapter describes the "Program Scope" and "Program Effectiveness and Progress." In the former, brief descriptions of overall funding and program participation estimates are provided. The latter of the two sections summarizes available information on the characteristics of districts, schools, and students participating, as well as descriptions of the nature and effects of that participation.

Program Scope:

Title I funds continue to represent about 3% of the total national expenditure for public elementary and secondary education. Table 1 depicts the funding of Part A, Regular grants to local districts, over the twelve-year period from 1970-1981. Shown there are the authorized level, the actual appropriations, and those appropriations adjusted for inflation with 1970 as the base year. The increase in authorization during that period was 160% while appropriations increased 106%; however, "constant dollar" appropriations decreased about 22%.

Table 1. ANNUAL FUNDS FOR ESEA TITLE I, PART A REGULAR GRANTS
(millions of dollars)

Year	Authorized Level	Actual Appropriations	"Adjusted" Appropriations
1970	2,418	1,219	1,219
1971	3,335	1,340	1,274
1972	3,997	1,407	1,292
1973	4,750	1,536	1,355
1974	3,993	1,446	1,172
1975[8]	6,106	3,212	2,341
1976	4,151	1,721	1,172
1977	4,085	1,926	1,239
1978	4,293	2,356	1,420
1979	5,075	2,630	1,389
1980	5,680	2,633	1,237
1981	6,292	2,513	955

---

[8] Commencing in 1976 the program became advance-funded from the prior year's appropriation bill. This resulted in a doubling-up of funding in 1975.

Funding for the two other types of Part A grants: Concentration Grants and Incentive Grants, has been smaller of course: Table 2 shows those figures.

Table 2. FUNDS FOR PART A, SPECIAL GRANTS
(millions of dollars)

Budget Year	Concentration Grants	Incentive Grants
1979 (FY 80)	147	00
1980 (FY 81)	98	00
1981 (FY 82)	99	00

Currently all 50 States, the District of Columbia and all outlying territories (e.g., American Samoa, Guam, Trust Territories of the Pacific, the Virgin Islands, Puerto Rico, and the Northern Marianas) and the Bureau of Indian Affairs receive Title I funds.[9] About 87% of all school districts received Title I funds for the 1979 fiscal year, and about half (7,000) receive Concentration Grants, 80% of which are in urban areas.

The size of Title I grants varies considerably. Most (62%) are between $10,000 and $100,000, but 25% of them are $100,000 or more (accounting for 84% of the funds). Nearly 5 million students, or about 10% of the elementary and secondary students in public schools, are provided services with Title I funds. Nearly 200,000 students, or about 5% of the enrollment in non-public schools, were served by Title I during academic year 1978-79 (State performance reports, FY 1979).

Program Effectiveness and Progress:

In the re-authorization of Title I in 1977-78, members of Congress inquired about many aspects of the program, including the following -- effectiveness of the funds allocation procedure, school selection, student selection procedures for targeting services to educationally needy students in impoverished neighborhoods, the degree to which those services supplement other educational activities of the participating students, the effectiveness of the services in improving student performance in the basic skills, the extent of parent involvement, and the ways in which State personnel administer the program. This section is organized to discuss available data on each of the eight aspects of Title I described under "Program Operations" above--funds allocation, school selection, student selection, provision of services, documentation that they do not replace those normally provided by local and State funds, evaluation of project effectiveness, incorporation of parents and others in decision-making, and State administration. As a ninth and major topic, the effectiveness of Title I services in improving student performance in the basic skills is discussed.

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[9] Some territories have elected to receive consolidated grants (e.g. American Samoa and the Virgin Islands). In these cases, while Title I funds are included in the consolidated grants, each territory can select, from a limited list, which program requirements to follow when submitting their consolidated grant application. To date, Title I has not been selected by any consolidated grant applicant.

1. Use of the formula in allocating funds to school districts

As noted above, the purpose of Title I is to provide funds for extra services to educationally disadvantaged students in districts with areas of high poverty. The formula uses estimates of the amount of poverty in the area (counts of children from poor families) and average educational expenditures to determine the size of district grants. One rough way to assess the adequacy of the formula for allocating funds to districts in poor areas is to note the correspondence between the numbers of children counted as being from impoverished backgrounds and the amount of funds received. The Department of Education's 1980 Annual Evaluation Report described the relationship between the numbers of formula-eligible children and per-pupil expenditures. It was shown that the South, with 45.5% of the formula-eligible children, received 39.9% of the allocated Title I funds. In contrast, the Northeast received 22.9% of the allocated Title I funds although only having 18.8% of the Nation's formula-eligible children. The reason for this difference is primarily due to differential regional costs of education. Most Northeastern States receive over $200.00 (in FY 77) for each formula-eligible child as a result of high State per-pupil-expenditures in these States. In contrast, over one half of the States in the South received the minimum sum of $163.00 (80% of the national average) per formula-eligible child as a result of their lower funding in education.

The correspondence between numbers of students from poor backgrounds and receipt of funds is high. The National Institute of Education (NIE) found, specifically, that: (1) as the number of formula-eligible children in a county increases, the average Title I allocation to the county rises consistently, and (2) district allocations reveal patterns similar to those observed at the county level (NIE, Survey of Compensatory Education, 1977).

2. The result of district practices in selecting eligible schools

Two recent surveys have found that districts have Title I programs in 90-95% of their eligible schools (NIE, 1976; Wang, et al, 1978). Of just over 62,500 public schools having any of grades 1-6 in 1976-77, about 68% received Title I funds (27% only Title I plus 41% Title I and some other compensatory program funds); 14% received only other compensatory funds, 18% received none (Hoepfner, et al., 1977). A survey of 213 Title I districts in 1976-77 found that most often (in 73% of the districts) they used data on the number of children receiving free or reduced-price lunches for each of their schools to rank them for the purpose of determining Title I eligibility. Second in frequency (in 57% of the districts) was the use of AFDC counts; third was census data on family income (42% of the districts) (Hemenway, et al., 1978). These practices result in Title I programs being offered more often in schools with larger proportions of their students from families in poverty, as shown in Figure 1.

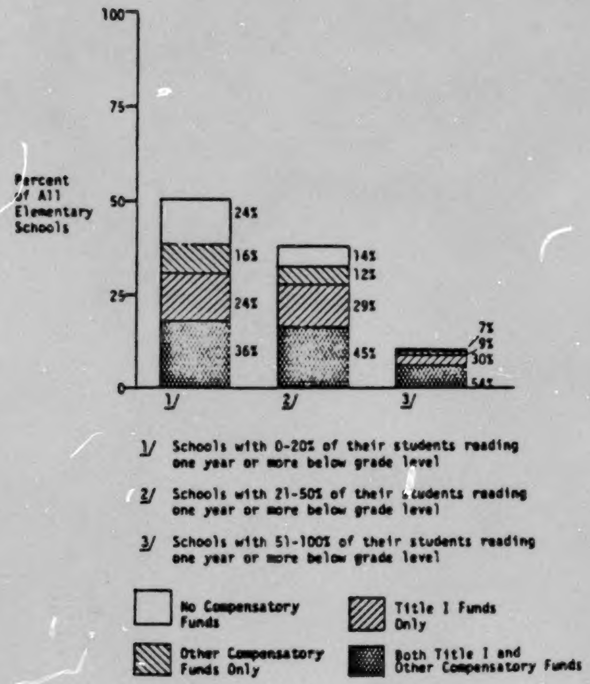

Figure 2. Elementary Schools with Differing Proportions of Educationally Deprived Students

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The pattern is similar to that in Figure 1. In fact, the correlation between the number of educationally disadvantaged students in a school and the number of economically disadvantaged ones is .67. The correlation between those two numbers for schools within the same district is even higher -- .91 (Breglic, et al., 1978). Most schools (91%) having greater than half of their students from poor homes and greater than half performing at least one year below grade level offer Title I programs (97% offer Title I or some other compensatory program). The 3% of these schools which do not have any compensatory program (Title I or something else) are most often located in urban settings.

3. Student selection for services

Title I services are supposed to "meet the special educational needs of educationally deprived children" attending school in the eligible attendance areas. The current regulations state that a district must use "specified criteria and -- to the extent possible -- objective data to select ... those educationally deprived children who are in the greatest need of assistance ..." (Federal Register, Volume 45, No. 114, June 11, 1980, page 39751, Section 116a.103).

It is difficult to assess how adequately local procedures achieve the intent of the regulations due to differing definitions of educational deprivation, greatest need, etc. Analyses of targeting of services on students found that 75% of the schools in the "Sustaining Effects Study" (which formed a representative sample of the Nation's schools serving grades 1-6) had more than half of their Title I students falling at or below the 35th percentile on the nationally standardized reading test used in the study (Kenoyer and Cooper, 1980). (The 35th percentile represents a level of performance below which most teachers judge students to need compensatory services.)

Another way to assess the adequacy of selection procedures is to assess the degree to which, for each school, the low-achievers tend to be in Title I and the higher achievers not. This can be examined by a correlation between student achievement ranks on standardized reading tests and whether or not each is in Title I. These correlations are almost all positive in reading, but not strongly so. The average correlation across schools was .37 in reading and .24 in math (Kenoyer and Cooper, 1980).

It is also possible to depict student participation in Title I separately for each quartile of the achievement distribution. The figures for grades 1-6 according to the "Sustaining Effects Study" are shown in Table 3 below (Breglio, et al , 1978).

Table 3. ACHIEVEMENT STATUS AND PARTICIPATION IN COMPENSATORY EDUCATION, GRADES 1-6
(Numbers in thousands)

	Compensatory Education Participants				Students Not In Compensatory Education			
	Title I		Other Comp. Ed.		In Comp. Ed. School		In School w/out Comp. Ed.	
Achievement Status	No.	(%)	No.	(%)	No.	(%)	No.	(%)
Bottom Quartile	1,579	(32)	718	(14)	2,110	(42)	560	(11)
2nd "	910	(19)	543	(11)	2,809	(58)	605	(12)
3rd "	368	(7)	411	(8)	3,600	(70)	762	(15)
Top "	89	(2)	301	(6)	3,772	(75)	869	(17)

It is important in reading Table 3 to note that the percentage figures add to 100% by row (except for rounding errors): that is, for example, 32% of the Nation's students in the bottom quartile are in Title I; 14% of the students in that quartile receive services only from other compensatory programs; 42% are in schools with compensatory programs but receive no services[10]; and 11% are in schools which have no compensatory programs. Difficulties in targeting services on the neediest is evident in this table since 457,000 (16% of the students in Title I) placed in the upper half of the distribution (left column, 3rd and 4th rows). Possible explanations are problems with tests, teacher or parent preferences for certain students to be in Title I, etc.

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[10] Of particular interest is the 42% figure, showing that many students scoring poorly on standardized instruments do not receive services even when they attend schools that offer compensatory education programs. A combination of factors has been suggested: poor selection procedures, funding levels too low to serve all needy children, and in some cases, the lack of Title I programs at certain grade levels.

As a final note, it should be pointed out that the data reported on in the "Sustaining Effects Study" were collected during the 1976-77 school year. During the last five years, the Title I evaluation Technical Assistance Centers (TACs) have worked extensively with the National Title I Program Office and with many SEAs and LEAs to develop and train district staff in improving their needs assessment and student selection procedures. The effect of this work is not visible in the data presented here, but will be reported on more fully in the Department's 1982 Biennial Title I Evaluation Report to Congress.

Other aspects involved in "targeting" involve the numbers of students with different characteristics being served by the program (as a consequence, presumably, of the selection procedures emphasizing educational need). Data on the sex, age and language groupings of participants in Title I are shown in Table 4 (as reported in the 1980 Annual Evaluation Report and dating from Fiscal Year 1977: from the "Sustaining Effects Study.")

Table 4. CHARACTERISTICS OF TITLE I PARTICIPANTS
(In thousands, grades 1-6 only)

Race	Number	(%)
White, not Hispanic	1,762	(61)
Black, not Hispanic	740	(26)
Hispanic	328	(11)
Other	58	(2)
Language		
English spoken at home	2,470	(84)
Spanish spoken at home	353	(12)
Other language spoken at home	113	(4)
Age		
5-6 years	354	(12)
7	506	(17)
8	519	(18)
9	503	(17)
10	510	(17)
11	418	(14)
12	128	(4)
Sex		
Female	1,094	(44)
Male	1,412	(56)

The above data on race was provided by several of whom did not have actual counts available and thus had to estimate. Other estimates of these counts come from NIE, 1977, and may be more accurate: White (54%), Black (34.5%), Hispanic (10%) and other (1.5%).

4. Services to Title I students

After major district-wide areas of need are identified through the annual needs assessment, students are then selected to participate in Title I. Services are provided to them preferably according to a specific plan constructed for each student (Title I, Section 129).

The following subsection addresses three ways of describing the nature of services provided to Title I participants: (a) per-pupil expenditures, (b) types of services provided, and (c) measures of the intensity of services in reading and mathematics.

(a) per-pupil expenditures

Although estimates of per-pupil expenditures are difficult to collect from districts, and where available are subsequently difficult to interpret (due to different accounting methods, etc.), it is possible to obtain rough indicators of Title I efforts by this method. A survey in 100 Title I districts estimated the Title I per-pupil expenditures to be $347 in 1975-76 (NIE, 1976). An estimate for the following year from the "Sustaining Effects Study" was $415, compared to $371 per-pupil from special district or State compensatory education programs (Hemenway, *et al.*, 1978).

(b) types of services

NIE estimated that the proportion of Title I funds spent for instructional services in 1975-76 was 75%; a somewhat comparable estimate for the following year is 81% (Hemenway, *et al.*, 1978). This in part may be due to a renewed emphasis in Title I on basic skills instruction. Table 5 displays the data provided by each State via the new Title I Evaluation and Reporting System (Form 686-2) participation, training and evaluation report for Fiscal Year 1980.

Table 5. STUDENTS AND SERVICES IN TITLE I, FISCAL YEAR 1980
(from Title I Evaluation and Reporting System)
(in 000's)

Service Area	Public School	Non-Public	Local[11] N or D	Total Number	Percent[12]
A. Instructional					
Reading	4,010	147	133	4,190	78 %
Mathematics	2,390	68	20	2,478	46
Language arts (other than Reading)	1,132			1,157	22
Vocational	5	0	0	5	0.1
English as a second language	352	14	2	368	7
Other instructional (early childhood, science, art, etc.)	913	15	3	931	17

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[11] Includes children served by local Neglected or Delinquent programs.

[12] Percent of total unduplicated count of children served by Title I, 5,347,000 children.

Table 5, continued

	Public School	Non-Public	Local N or D	Total Number	Percent[13]
B. Support Services					
Attendance, social work, guidance, psychology	768	17	8	793	15%
Health, nutrition	1,505	12	1.7	1,519	28
Other support services (libraries, resource centers, etc.)	409	10	1	420	8

As is evident in Table 5, reading and mathematics instruction are the areas of activity most frequently supported in district Title I projects. Much less often, of course, is support found for Title I support services, with the exception of health/nutrition services (often the services of a school nurse). These services are offered most often in southern States with low per-pupil expenditures in education. Within a district, non-instructional support services tend to be focused on students with greater needs. For example, in 1976-77, in both the psychological and the health service areas, students receiving non-instructional services:

-- were more likely to be poor than non-poor; and

-- were more likely to be low achievers than high achievers.

(c) the nature and intensity of reading and math services

It was noted above that it is hard to analyze costs or services in education using per-pupil expenditures. In two national studies of Title I, an analysis method has been used which involves estimating the amount and type of educational resources (teacher training and time of instruction, type of materials, etc.) to which students are exposed. Then, the method applies to each resource an estimate of its average (or "standard") cost. Hence, for each Title I student or group of students, one can record the "inputs," or resources used, multiply each by its estimated standard cost, and sum across resources. This yields an estimate of per-pupil costs attributable to the particular educational activity rather than to local salary and expense schedules. Comparisons across sites and various analytical efforts (relating costs to degrees of effectiveness for example) thereby become more meaningful. (See especially Haggart, 1978, for more discussion of this technique.)

It is possible, through this method, to note the costs of programs received by Title I students in contrast to those received by their peers. Results of these analyses were presented in detail in the 1980 Annual Evaluation Report, and will not be repeated here. In summary,

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[13] Percentages do not add to 100% because some students received more than one type of service.

Figure 3 describes the comparison of "standard" costs for both Title I and Non-compensatory students, in reading and in mathematics. The resource costs estimated include those due to teaching personnel, support (clerical aides and other auxiliary personnel), and equipment and materials.

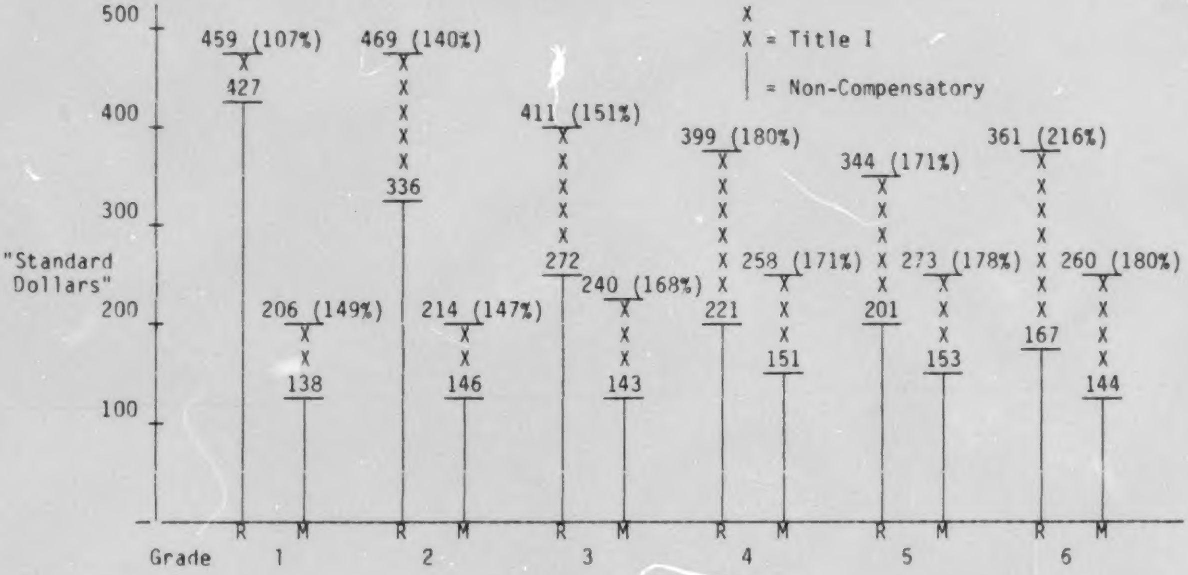

Figure 3. Estimates of Services to Title I and Non-Compensatory Students; Reading and Mathematics, Grades 1 - 6 (1976 data)

Of interest in Figure 3 is the clear difference between the amounts of resources comprising reading and math programs for Title I and non-compensatory students. For both reading and mathematics, the Title I students are offered substantially more services/resources than are offered to their non-compensatory peers. The amount and the patterns of supplementary service allocations vary somewhat across grades, as shown in Figure 3, with the resources devoted to compensatory reading greatly increasing as the grade level increases (although the total amount of resources devoted to reading declines, and the amount of resources devoted to non-compensatory reading declines dramatically). The level of regular mathematics resources allocated remains fairly constant across the grade levels, while the amount of compensatory mathematics resources increases slightly.

To repeat some of the observations noted above, and in an attempt to describe what accounts for the majority of the differences in costs between services received by Title I and non-compensatory students, it should be noted that:

- o especially in grades 3-6, Title I students receive more hours of services in reading than their non-compensatory peers

- Title I students in all of grades 1-6 receive more math
- Title I services are more often in smaller groups, and/or
- those services are more often offered by a subject area specialist

These figures about specific measures of services in reading and math are taken from a study in public schools. There is little comparable information to describe services to non-public students. In a sample of 214 Title I districts in 1977-78, 98 or 46% were providing services to non-public students; most of those services (in 89 of the 98) were provided in the non-public school itself; and most of them (in 92 of the sites) offered the services during normal school hours (Hemenway, et al., 1978).

5. Documentation that Title I services do not replace those to which students are already entitled

Title I has four fiscal requirements to ensure that Title I students get their "fair share" of services from their districts: (a) comparability of services (district and State-funded services in each Title I school must be comparable to the average provided in a district's non-Title I schools); (b) maintenance of effort (local and State funding in a district cannot decrease from one year to the next); (c) excess costs (Title I funds can be used only for costs of Title I projects which exceed the district's per-pupil expenditure); and (d) Title I funds must supplement, not supplant, other funds for services to Title I students.

(a) Comparability

Some members of Congress heard testimony during the 1978 Title I reauthorization hearings that the current comparability requirements are burdensome and overly rigid, and that they unintentionally detract from the effectiveness of Title I services. As a result, the Education Amendments of 1978 authorized (in P.L. 95-561, section 102) a study in which a limited number of districts were to formulate and use alternative comparability criteria, which would provide greater flexibility without compromising the purpose of the comparability provision. The study, "Utilization and Effects of Alternative Measures of Comparability," has been completed. A report of its findings was to delivered to Congress, as mandated, by September 30, 1981.

The study was designed to address five questions: (1) what are the comparative administrative, reporting, monitoring, auditing and enforcement burdens created by the existing provisions; (2) to what extent do the comparability provisiions and alternatives conflict with local, State or Federal policies; (3) to what extent do the provisions ensure that districts provide equal local and State resources to Title I and non-Title I schools alike; (4) to what extent do district and State processes account for variability in the above three areas; and (5) to what extent are the administrative burden, policy conflicts and allocations of equivalent resources influenced by contextual factors of districts (e.g. enrollment size, staff, etc.).

A sample of approximately 500 school districts was selected from 23 states. The 500 were telephoned to determine their interest in participating in the study and of the 405 for which responses are available:

- 27 reported administrative burden
- 94 reported conflict with state/local resource allocation policies
- 18 reported both administrative burden and conflict with state/local resource allocation policies
- 266 reported no problem with comparability.

Of the 44 participating districts, 34 were granted waivers to implement alternatives and 10 were not, but were to report under existing provisions. Of the 34 waiver districts, 24 implemented an alternative as proposed or with minor changes and reported under their alternative to their SEAs. Three districts implemented their alternative but chose to report under the existing provisions to their SEAs. Seven districts did not implement their alternative and chose instead to comply with the existing comparability provision.

While detailed study findings were not expected to be available until September 30, 1981, some preliminary findings follow:

- Little evidence was found that the existing comparability provision results in excessive administrative burden. Ninety-five percent of the study's 44 districts identified one or more comparability-related task as burdensome. However, over 50% reported spending less than 10 staff days per school-year on comparability and 23% reported spending 10 to 30 staff days per school-year on comparability. Most of the burden reported by districts is associated with data collection because often data are not available in a format required for comparability.
- Seventy-five percent of the 44 districts perceived comparability requirements to conflict with State or local resource allocation policies. However, only one of these districts was able to provide a concrete example of how it was prevented from carrying out local policies for allocating staff, programs, and services. All other districts reported that they did carry out local policies for allocating staff, programs and services. The one conflict described was the reallocation of staff to comply with comparability after the school year began. Except for eight districts, reallocations involved fewer than three staff members.
- Alternative comparability provisions were shown to have little uniform impact on administrative burden. Some changes examined could eliminate tasks many districts consider to be burdensome (e.g., inaccessible data need not be collected). However, changes could increase burden for some other districts (e.g., collecting data on expenditures for instructional services per pupil for districts that do not now collect such data).
- Since most implemented alternatives were designed to reduce administrative burden, they had little impact on conflict.

o No evidence was found to support changing the existing comparability provision. However, it was found that if SEAs are given greater discretion in administering comparability (e.g., by permitting districts to use alternative criteria, on a case-by-case basis), many districts could benefit.

While these study findings have been made somewhat moot by the passage of the "Education Consolidation and Improvement Act of 1981," which will take effect on October 1, 1982, they can serve as valuable evidence in later debates on the merits of the new provision as opposed to merits of the provision as of 1978-80. The intent of the comparability requirements has been maintained in the new Act (i.e., to equalize resources in Title I and non-Title I schools). Under the new Act, however, a district can satisfy the comparability requirements by filing a written assurance with the SEA that a districtwide salary schedule will be established; that a policy to ensure equivalence among schools in teachers, administrators and auxilliary personnel will be developed; and, that a policy to ensure equivalence among schools in the provision of curriculum materials and instructional supplies will be developed.

(b) Maintenance of Effort

Section 417(a) of the General Education Provision Act (as amended by Section 1246 of the Education Amendments of 1978) requires that special attention be given in this Annual Evaluation Report to the maintenance of effort requirement. As noted earlier, this requirement is intended to insure that an SEA or LEA does not lower its level of expenditures in a fiscal year (or years) so that Federal funds constitute a greater proportion of their total expenditures. This determination is made by comparing expenditures on an aggregate or per-pupil basis for the two fiscal years preceding the year in which funds are sought. If an SEA or LEA fails to maintain its level of effort, it risks losing its Title I funds. (An allowance is made for exceptional circumstances which lead to a decline in the financial resources of an SEA or LEA, but waivers are granted for one year only, and agencies receiving waivers may not take that year into account when computing the final effort in subsequent years).

There are three main sources of information on maintenance of effort: waiver applications, audit reports, and a study completed by the Rand Corporation in October, 1980 entitled "Maintenance of Effort Provisions: An Instrument of Federalism in Education" (Gurwitz and Darling-Hammond, 1980). In the period from October 1, 1978 to September 30, 1979, four waiver requests were received and three were granted by U.S.O.E. The reason for granting these three waivers was that the school districts presented special levy propositions to the voters which were defeated twice within a 12-month period. In the single district where the request was denied, the district elected to maintain a large cash reserve in anticipation of future levy failures and therefore had sufficient resources to meet the maintenance of effort requirement. There were no HEW Audit Agency reports with a finding that a local district failed to maintain effort during that particular period.

The Rand study involved visits to ten States. The highlights of their report include the following:

- Local districts out of compliance with the maintenance of effort requirement typically are poor, spend little in education, have a large proportion of minority students, and are "Federally reliant." Many are also small.

- Only 28 LEAs fell out of compliance with the maintenance of effort provisions between fiscal years 1977 to 1980. Of these, 25 were granted waivers by the U.S. Office of Education.

- The current rules for maintenance of effort did not distinguish between "unwillingness and inability" to maintain spending levels.

- However, the Rand researchers predicted an increasing problem in meeting maintenance of effort provisions due to the effects of inflation and the declining tax bases (sometimes the result of tax-limitation initiative, such as "Proposition 13" in California and "Proposition 2 1/2" in Massachusetts) in many districts, particularly in the Northeast and North Central regions. Rand estimated that over 100 districts would be out of compliance by fiscal year 1981.

The picture painted by Rand may be offset somewhat by revisions in the "Education Consolidation and Improvement Act." While continuing the intent of the maintenance of effort provisions, the requirement for maintenance is decreased from 100 percent of the previous fiscal year to only 90 percent.

(c) Excess costs

The excess costs provision of Title I was designed to require districts to use Title I funds only for the "excess costs of programs and projects." Excess costs are defined as those which exceed the average per pupil expenditure of LEAs. In the final regulations for Title I, published on March 27 in the *Federal Register*, the excess costs proposed regulations were relegated to the status of guidelines. In the "Education Consolidation and Improvement Act," the excess costs provision was repealed.

(d) Supplement, not supplant

The intent of Section 126(c) of Title I was to have LEAs use funds received under this title so as to "supplement and, to the extent possible, increase the level of funds that would, in the absence of Federal funds, be made available ... for the education of pupils... " The proposed rules for the supplement, not supplant provision were published as guidelines, rather than program requirements, on March 27, 1981, in the *Federal Register*. In the "Education Consolidation and Improvement Act," the intent of supplement, not supplant is maintained without the administrative tests provided for in ESEA, Title I.

6. Inclusion of important parties in decision-making about Title I

As noted above, ESEA requires that teachers in Title I schools, school boards, and parents be involved in the planning and evaluation of local Title I projects (Section 124 (i) and (j)). The extent of such involvement is difficult to assess because "planning" can mean many different types of activities, and "involvement" is also subject to many interpretations.

When asked about planning activities in conjunction with the NIE Study in 1976-77, 84% of the Title I districts described a process beginning around April (on the average) of the preceding year, and mentioned the importance of district planning meetings. The topic most often covered at such meetings was needs assessment; least often was in-service training. Participation at such meetings is depicted in Table 6.

Table 6. PEOPLE ATTENDING TITLE I DISTRICT PLANNING MEETINGS

Attended Planning Meeting	% of Title I Districts
Compensatory education teachers	76
Other compensatory education staff	68
Non-compensatory teachers	62
Principals/Assistant principals	94
District staff	81
Parents	74

(from NIE, 1978, page 116).

A second aspect of the involvement of these persons in Title I is keeping them informed. Districts have a variety of ways to accomplish this, and their relative effectiveness is difficult to assess. A survey of administrators in 213 districts in 1976-77 found districts using different numbers and combinations of eight major information dissemination strategies, as shown below in Table 7.

Table 7. FREQUENCIES OF DISTRICT TITLE I COMMUNICATION PROCEDURES

Question: During this school year how many times did your district use the following procedures to keep such persons informed about the district Title I programs?

	Average
District-wide meetings of all concerned persons	2.5
Meetings of principals of Title I schools	3.8
Meetings of teachers of Title I schools	4.0
Meetings of District Title I Parent Advisory Council	3.9
Meetings of School Title I Parent Advisory Councils	3.8
Presentations of Title I information to the Board of Education	2.3
Presentations in district publications not specifically devoted to Title I	2.4
Stories in local news media	3.0

(from Hinckley (ed.), 1979, page 247)

Parent involvement in various aspects is also formalized in the Title I law by a requirement for the establishment of Parent Advisory Councils. A study of parental involvement in four Federal education programs was to be completed in the Fall of 1981. Estimates of parent activity information are available from the fiscal year 1980 State evaluation reports. These are given in Table 8.

Table 8. PARENT ACTIVITY INFORMATION FROM 1980 STATE REPORTS

	Number
A. Advisory Councils	
1. Elected members of school advisory council who:	
a. were parents of Title I public schools students	271,964
b. were parents of Title I non-public school students	19,332
c. received training related to council activities	398,778
2. LEAs that provided funds for advisory council activities	6,617
B. Parent Activities	
1. Parents of Title I students who:	
a. participated in project planning, implementation or evaluation	386,898
b. worked as volunteers in Title I classrooms	126,173
c. worked as volunteers outside of Title I classrooms	89,606
2. Parents (not of Title I students) who participated in above three activities	163,288

Table 9 provides more detail about types of planning and training activities available to parent advisory councils.

Table 9. PARENT ADVISORY COUNCIL PLANNING ACTIVITIES AND TRAINING

Type of involvement in planning the district's Title I program:	Percent of Districts
Regularly scheduled meetings	78
Briefings by Title I staff	68
PAC meetings with Title I staff to plan the program	47
Mailed information on plans	34
PAC not involved in planning the program	4
No district Title I PAC	1
Training topics provided to the PAC by the district:	
Needs assessment, program planning, evaluation	86
How Title I works at national, State and local levels	82
Budget preparation	53
How to get people to work together	40
Parliamentary procedures	26
No training provided	8
No district Title I PAC	1

(from Hinckley (ed.), 1979, page 247).

Title I contains the requirement that parents of participating children be permitted to participate in the establishment of programs and "are informed of, and permitted to make recommendations with respect to, the instructional goals of the program and the progress of their children in such programs," and that parents are "afforded opportunities to assist their children in achieving such goals."

The only related requirement in the new Act states that programs "be designed and implemented in consultation with parents and teachers."

In addition to information about the training of parents and Parent Advisory Council members, the 1980 State Title I reports contain descriptive information regarding training opportunities afforded to staff members. This information is summarized in Table 10.

Table 10. TITLE I-FUNDED STAFF TRAINING
(Numbers of staff receiving training)

Job Classification	Title I Staff	Non-Title I Staff
Administrative Staff	6,933	10,433
Teachers	79,467	86,134
Teacher Aides	86,492	5,978
Curriculum Specialists	4,583	1,644
Other (e.g. Tutors, Community Aides, accounting personnel)	10,882	10,906

7. Local evaluations of the effectiveness of Title I services

While evaluation and reporting have been requirements of ESEA, Title I since the inception of the law in 1965, early attempts to synthesize and consolidate information about the program, based on State evaluation reports, proved impossible. Not only did the quality and thoroughness of the evaluation reports vary tremendously, but the types of information presented ranged from complete participation and effectiveness data down to the presentation of only a few case studies and testimonials.

Frustrated by the perennial lack of nationwide information available through the State reports, Congress used the Education Amendments of 1974 to rework completely the evaluation requirements of local and State Education Agencies. Specifically, Congress added requirements that the U.S. Office of Education (now the Education Department) publish standards and uniform criteria for evaluation, develop models that can provide comparable information on the effectiveness of projects, provide technical assistance to State and local school personnel to assist them in performing their evaluations and report periodically to Congress. (ESEA, Title I, Section 183)

In 1976 the Office of Education began the long process of implementing a new set of evaluation models, supported by the newly initiated Technical Assistance Centers (TACs). Even though the new evaluation requirements were not published in the *Federal Register* until October 12, 1979, as early as school year 1976-77 about twenty States implemented the new models on a pilot basis. In school year 1977-78, virtually every State had identified school districts willing to try out one of the proposed evaluation models, and several States were already using the new system statewide. School year 1978-79 saw most States not only fully implementing the Title I Evaluation and Reporting System (TIERS), but working with ED and the TACs to improve generally their procedures for selecting, administering, scoring and analyzing tests, to perform district needs assessment and to select appropriate children for participation in compensatory educational programs.

After five years of developmental work and consultation with States and locals, the Department published regulations requiring uniform collection and reporting of information about Title I in the following areas: (1) student participation; (2) parent activities; (3) staffing and training; (4) summer projects, and (5) student improvement in the basic skills. (*Federal Register*, October 12, 1979 as amended in the *Federal Register*, January 19, 1981). The evaluation regulations incorporated the requirements mandated by the 1974 amendments, as well as the new evaluation scheduling provision added to Title I by the Education Amendments of 1978. This latter provision requires local agencies to perform the required evaluation activities at least once in three years, according to a schedule established by their State and approved by ED. (This latter approval ensures that data reported to the Department each year are representative of each State as stated in Section 183, b.) About half the States have pursued such a sampling approach, allowing their districts to do the required evaluations less often than annually. The others still require an annual evaluation.

The system of ten regional evaluation Technical Assistance Centers (TACs) is crucial for helping States and locals conduct their evaluations. The results of a 1978-79 NCES (Goor, 1979) survey of districts about their technical assistance requirements, and what types of assistance they might request from the TACs also offered a glimpse into the evaluation practices in Title I districts. At that time, 62% of the Title I districts said they would need help from the TACs when regulations made the implementation of a recommended evaluation model mandatory.

When asked about topics with which they would like assistance, the districts answered as shown in Table 11. This tabulation shows the five evaluation areas thought at the time to be of greatest importance in districts. Other topics were mentioned by fewer than 25% of the districts.

Table 11. PROJECTIONS FOR TECHNICAL ASSISTANCE IN TITLE I EVALUATION

Topic	# Title I Districts	(%)
Evaluation for continuing program improvement	4,703	(34)
Role of Parent Advisory Councils in evaluation	4,538	(33)
Preparation of evaluation reports	3,953	(29)
Selection of evaluative measures other than tests	3,892	(28)
Implementation of normal-curve-equivalent (NCE) scores	3,718	(27)

(from Goor, 1979)

In fact, States and local school districts have proved to be avid consumers of TAC services. In school year 1979-80 (the first year for which the new evaluation regulations applied), the TACs stressed training activities that would lead to improved methods for selecting participants and for conducting needs assessments, and evaluation procedures that could be used to identify program strengths and weaknesses. In addition, the TACs continued to assist districts in evaluation model implementation, interpretation and quality control procedures.

During the six month period from October 1, 1980 through March 31, 1981, the TACs provided about 900 workshops and 1100 on-site consultations, all at the request of State and local personnel. In addition, States and districts were provided services through telephone consultations (probably the most popular, in terms of actual numbers of State/district contacts for technical assistance), through correspondence, through participation in regional meetings and through the development and provision of stand-alone training materials. Greater detail on the TAC effort will be published in the report to Congress, due February 1982.

As discussed, nationwide implementation of the TIERS occurred during the 1979-80 school year. By the summer of 1981, all States had submitted their Title I participation and evaluation reports, allowing the required report to Congress to be based upon complete national data. (In previous years, no more than 40, and frequently fewer, States provided comparable annual information on Title I program services and evaluations to ED.) In addition to fulfilling their reporting requirements, many States have have successfully implemented extensive "quality control" procedures for reviewing, editing and correcting evaluation information submitted by local school districts. Many States have also begun providing information back to participating school districts on their comparative status to other similar districts in terms of descriptive information and achievement gains, and are also providing districts with information on how their evaluation procedures can be strengthened.

A focus on identifying and sharing information about exemplary programs has emerged nationwide. Often with the help of the TACs, States are coordinating activities with ED's Office of Compensatory Education to identify and then assist school districts with unusually effective educational programs to prepare and present submissions to the Joint Dissemination Review Panel (JDRP). Projects validated as exemplary by the JDRP are described annually in the ED publication Educational Programs that Work, are often used as educational models by other projects in similar academic areas, and become eligible for funding as developer/demonstrator projects from the National Diffusion Network.

8. State Administrative Activities In Title I

As described earlier, State agencies are responsible for approving LEA applications, providing technical assistance to the LEAs and monitoring local programs. (The LEAs bear the major responsibility for designing, implementing, and evaluating their programs.) Each LEA provides to its SEA, in its three year application for a Title I grant, information describing its plans to comply with Title I regulations, guidelines, and program criteria. Similarly, States are required to submit a "Monitoring and Enforcement Plan" describing activities to insure that such compliance exists.

An NIE study of State administration found that States varied widely in how they administered Title I (1977). For example, some States had no general information mailings to Title I districts, while others reported as many as 30; the number of conferences held to provide assistance ranged from 0 to 500; and the number of individual visits to Title I districts ranged from 0 to over 1,000. The enormous diversity was attributed to two factors: (1) a lack of clarity in the Federal legal framework about precisely what States are supposed to do, with many States confused about their exact responsibilities and authorities in the areas of rulemaking, disseminating information, providing technical assistance, and monitoring and enforcing compliance, and (2) substantial variations among States in the number of staff they have available to administer the program.

The NIE study noted the importance of State staffing, finding that those States identified as having administrations of poor quality had lower staffing levels than would be expected given the size of their set-asides, the proportion of the population that was urban, the number of Title I districts, and their organizational characteristics. A study of selected cases showed that: (1) the greater the efforts a State made to clarify, record, and disseminate regulations, the less likely its districts were to experience compliance problems, and (2) the degree of personal interaction and amount of time spent between State Title I officials and local district personnel appeared to be strongly related to the general quality of local district administration.

Given these findings, the 1978 Amendments to Title I of the Elementary and Secondary Education Act of 1965 were written by the Congress to provide greater clarity in the law, and the set-aside for State administration was increased. A study is underway currently to describe the effects of these changes on State practices and to identify particularly effective State procedures, documents, checklists, etc.

In 1981, budget recisions reduced the State administrative set-aside back to the 1% level. While the effects of this reduction are not yet fully known (although some States have reduced staffing levels), the State management practices study will provide some information. The role of States in managing Title I will be revised when the "Education Consolidation and Improvement Act" takes effect on October 1, 1982.

9. The effects of Title I participation on student performance in the basic skills

The preceding parts of this section on "Program Effectiveness and Progress" have described the process of providing services funded by Title I to meet students' special educational needs. Emphasized throughout have been indicators of the degree to which actual practices meet the intent of the law in terms of the students being served, the nature of the services, the persons involved in assessing the appropriateness of the services, and the probable effects of legislative revisions. While the effects of various legislative and regulatory provisions on how local administrators conduct Title I projects are important, of equal importance to members of Congress, program administrators, educators, and parents nationwide is the ultimate question of whether or not all this effort helps the students to achieve better academically.

Evidence about the effectiveness of Title I services comes from two sources: reports from States based on local evaluation data and focused Federal studies of specific effectiveness issues.

Two earlier national studies have been the "Compensatory Reading Study," based on data collected during the 1972-73 school year in a nationally representative sample of schools (Trismen, et al., 1975) and the 1976-77 "Study of Instructional Dimensions" in sites selected to illustrate a variety of instructional approaches (NIE, 1977). Both concluded that Title I services are leading to student improvement (in reading and math) which although modest on the average, provides evidence of the promise of compensatory education. The highlights of the findings of these studies are discussed in the 1980 Annual Evaluation Report.

The "Sustaining Effects Study" is a major, five-year study of the Elementary and Secondary Education Act (P.L. 95-561) Title I programs that is nearing completion. Authorized by Section 183 of Title I (which requires the Department to conduct independent evaluations "which describe and measure the impact of programs ... assisted under this title"), the "Sustaining Effects Study" was designed to document the following: (1) the characteristics of districts, schools and students participating in Title I; (2) the nature of Title I services provided to program participants; and (3) an analysis of the effectiveness of those services over several years of program participation.

The "Sustaining Effects Study" represents the most comprehensive effort to date in attempting to document and analyze the nature and effects of compensatory education programs. Data were collected on all students in a nationally representative sample of over 200 elementary schools during the three-year period from the fall of 1975 through the spring of 1978. Not only were data collected on student, teacher and principal characteristics, student progress in the basic skills and in attitude toward school, but interviews were also conducted with parents of a representative sub-sample of 15,000 students.

Information on the nature of compensatory services and on the effects of services on student achievement over one year is now available. By early 1982, the Education Department will make available results of the study of student academic achievement over three years, asessing various patterns of participation in compensatory education programs.

The major findings to date of the Sustaining Effects Study include the following:

- Of all Title I program participants (approximately 5 million children, spanning 68% of the nation's schools), about 82% receive reading instruction and 34% receive math. The level of instructional resources devoted to Title I participants is about 1.5 times greater than for similar non-compensatory students. More than half the schools in the survey provided Title I services to students in private schools, and with a comparable per-pupil expenditure.

- Compared to similarly needy but non-compensatory education students in economically deprived areas, the Title I students learned more in reading for grades 1 - 3 (though not for grades 4 - 6); in mathematics, the Title I students significantly surpassed the non-Title I students in each grade from 1 - 6.

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- The achievement gains made by Title I students tended to persist over the summer and through subsequent school years, even after services had been discontinued. While an earlier study suggested that Title I students who did not attend summer school in selected sites showed considerable losses (Pelavin and David, 1977), the "Sustaining Effects Study" results show that on the average losses tend not to occur over the summer for compensatory students. Additional evidence (Hoepfner, 1979) shows that all students tend to grow somewhat over the summer months in their reading skills (though not in mathematics) but that this growth is much less than that which takes place during the regular school year and is at a slower rate than that of average achieving students. Limited evidence indicates that low achieving students who receive summer school instruction in reading appear not to catch up with their more advantaged peers (Hoepfner, 1979) as a result of this participation.

- The factors found to be related to increased student achievement growth during the first year of the study include: greater amounts of regular and tutored instruction, greater teacher experience, lack of disruptions to instruction, frequent feedback on progress and greater teacher effort in planning and evaluation. However, there are not many strong relationships between the size of the improvement and these other factors (Wang, 1980).

- Of those who receive Title I in any one year, about 40% will not be in the program the following year; most (60% of those discontinued[14]) of these students "graduate out" due to high achievement. This standard for selection is supported by the achievement data -- the average percentile for those continuing in Title I is 22, while the average percentile of those "graduated out" is 34. After a year without services, children who "graduated out" tend to maintain their achievement at this higher level.

Subsequent reports from the "Sustaining Effects Study" were due to ED in the fall of 1981. These were to discuss growth over a three-year period for students receiving different types and numbers of years of Title I services, as well as the pattern of student performance after Title I services end for them. The findings of these later reports will be discussed thoroughly in the February, 1982 report to Congress.

As mentioned previously, 1979-80 was the first school year in which all States and local school districts participated in the implementation of the Title I Evaluation and Reporting System (TIERS), the system of models and reporting forms designed to yield aggregatable, nationwide information about Title I participation and effects. As of summer, 1981, ED has received reports from all the State agencies, but analyses of all the information will be completed only in time for inclusion in the mandated report to Congress, due February 1, 1982. However, preliminary results are presented below.

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[14] This figure pertains only to students who remained in the same district for the two years spanned by this analysis.

Table 12 presents the results of evaluations of reading achievement gains conducted over a full-year period (fall-fall or spring-spring testing) and those collected using an academic year (fall-spring) testing cycle.

Table 12. READING ACHIEVEMENT FOR TITLE I STUDENTS
(from the Title I Evaluation and Reporting System,
1979-80, 50 States and the District of Columbia)

			Mean Normal Curve Equivalents[15]			Percentile		Percent[16]
	Grade	Number Tested	Pretest	Posttest	Gain	Pretest	Posttest	Additional Growth
ANNUAL TESTING CYCLE	2	63,109	37.6	38.6	1.0	28	29	4 %
	3	78,452	34.3	36.7	2.4	23	26	16
	4	78,832	34.7	36.6	1.9	23	26	17
	5	79,731	33.9	36.2	2.3	22	27	20
	6	75,396	33.9	37.2	3.3	22	27	37
	7	44,375	33.9	35.8	1.8	22	25	22
	8	38,894	33.6	35.8	2.2	22	25	23
FALL-SPRING TESTING CYCLE	2	208,101	30.8	40.2	9.4	18	32	67 %
	3	198,743	28.7	36.1	7.4	16	26	92
	4	183,500	28.7	35.6	7.0	16	25	118
	5	168,233	29.4	35.5	6.1	16	25	145
	6	147,247	29.7	35.7	6.0	17	25	154
	7	113,211	28.8	34.3	5.5	16	23	149
	8	90,863	29.0	34.0	5.0	16	22	132

The data presented in Table 12 must be viewed at this stage with great caution, since these data: (1) are based on scores aggregated across many different tests, of varying quality and appropriateness, and administered under locally controlled conditions; (2) in some situations were obtained in States or districts implementing new evaluation procedures for the first time; and (3) in some situations quality control procedures may not have been adequately implemented. While these particular problems are not features of the "Sustaining Effects Study," it is nevertheless the case that sometimes the TIERS data may prove more valid than the "Sustaining Effects Study" data, since local control over test selection may account for a better match between the test and the instructional objectives of the Title I programs.

As can also be seen in Table 12, the results obtained from the annual testing cycle evaluations more closely resemble the results obtained in the "Sustaining Effects Study" than do the results of fall-spring evaluations. However, the differences between the annual and academic year results are not fully understood at this time. These differences do not, however, appear to result from summer drop-off so much as from artifacts of the testing/student selection situation. ED is investigating these issues and will report more fully on the achievement results and their interpretations, as well as on the similarities and differences obtained from the different evaluation strategies (local vs. national studies) in the next biennial evaluation report to Congress.

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[15] The Normal Curve Equivalent, or NCE, is the metric used for national aggregation. It has a national mean of 50, and a standard deviation of 21. The percentiles reported here were obtained directly from the mean NCEs and rounded off.

[16] The percent additional growth measure represents the academic growth made by compensatory education students above and beyond that made by similarly needy students not in compensatory educational programs.

Table 13 presents the results of evaluation of mathematics achievement gains.

Table 13. MATHEMATICS ACHIEVEMENT FOR TITLE I STUDENTS
(from the Title I Evaluation and Reporting System,
1979-80, 50 States and the District of Columbia)

			Mean Normal Curve Equivalents			Percentile		
	Grade	Number Tested	Pretest	Posttest	Gain	Pretest	Posttest	Percent Additional Growth
	2	39,008	41.9	43.0	1.1	35	37	5 %
ANNUAL TESTING CYCLE	3	49,451	39.7	40.1	0.4	31	32	3
	4	52,203	37.5	39.2	1.8	28	30	16
	5	51,364	36.6	39.0	2.5	26	30	22
	6	50,496	35.4	39.3	3.9	24	31	44
	7	25,075	34.5	36.7	2.2	23	26	27
	8	21,196	34.3	37.1	2.8	23	27	30
	2	85,134	32.0	42.5	10.5	20	36	74 %
FALL-SPRING TESTING CYCLE	3	96,336	31.5	40.1	8.6	19	32	106
	4	100,379	30.8	39.8	9.0	18	31	153
	5	92,650	30.5	38.7	8.2	18	30	194
	6	81,059	30.9	38.6	7.7	18	29	198
	7	56,621	30.6	36.9	6.3	18	27	171
	8	46,231	30.1	36.3	6.2	17	26	164

While the results from locally conducted evaluations in mathematics have not yet been analyzed fully, preliminary evidence indicates an achievement pattern similar to that evident in the reading results of Table 12, but with generally larger overall gains. This conforms somewhat with the results of the first year evaluation from the "Sustaining Effects Study," which also detected slightly larger mathematics gains than reading gains.

As mentioned earlier, the results obtained from fall-spring testing seem to over-estimate the "real" impact of Title I programs, due to methodological problems in the fall-spring data, e.g. pretest scores that are consistently too low. The results from annual testing are more realistic as measures of the lasting academic growth of Title I participants. The fall-spring results (which in some cases may accurately portray gains made during the course of the school year, rather than results which persist across years) are included here for completeness rather than as an accurate estimate of the effectiveness of Title I projects.

Additional achievement results will also be available in the 1982 report to Congress, covering grade levels 9 - 12 in reading and mathematics, and grades 1 - 12 in other English language arts.

Also, for reading and mathematics projects in grades 2, 6 and 10, States have provided ED with detailed information on program characteristics. ED will be thoroughly examining the distributions of various instructional strategies, allocated resources, student-teacher ratios and other background variables and their interrelationships. In addition, extensive data on evaluation model implementation, test selection and summer effects will be examined in relationship to achievement gains.

In summary, it is important to note that a consistent picture emerges from a variety of sources that Title I services can lead to improvements in student performance. To differing degrees, this conclusion is supported by the results not only of the "Sustaining Effects Study" and by the TIERS results, but also from results obtained from recent surveys conducted by the National Assessment of Educational Progress.

As stated, the full analysis and interpretations of the evaluation results in the area of student achievement in reading, mathematics and language arts will be presented in the 1982 biennial evaluation report to Congress. For the interested reader, a preliminary outline for that report is presented following the discussion of Title I-related studies.

Ongoing, Recently Completed and Planned Evaluation Studies:

There are six studies underway or recently completed that describe the operations and effects of Title I. Some have been discussed at length in this chapter, but all are presented below for completeness.

1. Sustaining Effects Study - Documentation of the characteristics of schools and students in the program, the services received over a 3-year period, and the effects of services. An interim report is now available, presenting highlights of the findings in all areas except student growth over three years. The final report will be available in early 1982.

2. Comparability Study - Mandated by Section 102 of the Education Amendments of 1978, the study documents resource allocation changes, burden, and feasibility estimates associated with alternative measures of comparability being tried in 36 districts. The final report was to available in October, 1981.

3. Description of State Management Practices - Documentation of State responses to changes in the management of Title I, as effected by the Education Amendments of 1978 and by the passage of the "Education Consolidation and Improvement Act." Includes identification of especially effective practices for dissemination to program managers. In addition, the study will examine the need by State personnel for future Federal technical assistance.

4. Description of District Practices Since 1978 - Documentation of district implementation of Title I, especially in areas changed in 1978 and likely to be effected by the new consolidation legislation. The study will also focus on the effects on services to non-public students and secondary students by legislative provisions and changes.

5. Study of Maintenance of Effort - Analysis of problems and solutions with maintenance-of-effort provisions, recently completed by the Rand Educational Policy Center.

6. Study of Parent Involvement in Four Federal Programs - Documentation of activities with parents as supported by four Federal education programs: ESEA Title I, Title VII, Follow Through, and ESAA. Final reports and field handbooks to improve parental involvement components of programs were be completed in the Fall of 1981.

7. Analysis of the Title I Evaluation and Reporting System - Examination and documentation of the operation of the evaluation models, its effects and State and local evaluation practices, the utility of evaluation results for program improvement at the local, State and Federal levels, and a follow-up study of the operation of the Title I evaluation Technical Assistance Centers.

There is at least one new study planned for Title I, to provide additional information on how well ED has implemented its mandate to develop a uniform evaluation system and to assist States in its implementation:

OUTLINE

REPORT TO CONGRESS -- Title I, ESEA

(Due February 1, 1982; as required by P.L. 95-561, Sec. 183(g))

I. Executive Summary

-- Highlights of findings in the areas of participation, service delivery and student achievement.

-- Discussion of ED efforts to help improve State and local education agency (SEA/LEA) program management and evaluation practices.

II. Program Operations

-- Overview of legislative mandate and funding history, program requirements and operations

III. The Nature and Implementation of Compensatory Education Programs

-- Highlights and patterns from the Sustaining Effects Study (SES), the NIE Survey of Compensatory Education, and the Title I Evaluation and Reporting System (TIERS) State participation, student performance and district project characteristics reports, including:

- What are the characteristics of Title I participants

- What are the characteristics of Title I programs, including a description of the types of services provided and the types of instructional strategies employed

- What kinds of staff are used in Title I

IV. The Academic Achievement of Compensatory Education Participants

-- Highlights from the SES, the TIERS results and results from the National Assessment of Educational Progress (NAEP), including:

- o Educational status of Title I students and patterns of achievement gains over the academic year
- o Patterns of sustained gains and relationships to service discontinuity

V. Improving State and Local Evaluation Practices

-- Brief discussion of the evaluation requirements of Section 183 and of ED work to implement evaluation mandate, including the following:

- o The TIERS and the Technical Assistance Centers -- working with SEAs and LEAs to implement a new evaluation system
- o Other joint ED/SEA/LEA work, including State Refinements contracts and Joint Dissemination Review Panel activities to identify exemplary programs
- o ED and TAC efforts to improve testing and evaluation practice and to foster the use of evaluation results for improving educational services
- o Special topics and case study reports, e.g. quality control efforts, summer school evaluations, improved reporting and communications, etc.

VI. Future Directions of Federal Evaluation and Technical Assistance Support

-- Results from the assessment of the TIERS and its technical assistance components, including:

- o Local, State and Federal reactions to the TIERS strategy toward evaluation and reporting, changes in evaluation procedures and utility of evaluation in program improvement
- o As program consolidation progresses, what can ED do to continue helping SEAs and LEAs to improve their compensatory programs?

-- Implications for changes to ESEA, Title I legislation and/or implementation, based on findings of the following studies: SES, State management practices, district management practices, parental involvement, early childhood, migrant, neglected or delinquent, and Policy Center activities.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Title I, ESEA, Migrant Education Program

Legislation:

Sections 141-143 of Title I of the Elementary and Secondary Education Act of 1965, as amended by P.L. 95-561.

Expiration Date:

September 30, 1981

Funding History:

Year:	Authorization:	Appropriation:
1967	$ 40,394,401	$ 9,737,847
1968	41,692,425	41,692,425
1969	45,556,074	45,556,074
1970	51,014,319	51,014,319
1971	57,608,680	51,608,680
1972	64,822,926	64,822,926
1973	72,772,187	72,772,187
1974	78,331,437	78,331,437
1975 1/	189,043,638	189,043,638
1976	130,909,832	130,909,832
1977	145,759,940	145,759,940
1978	173,548,829	173,548,829
1979	209,593,746	209,593,746
1980	252,315,000	245,000,000
1981	288,000,000	266,400,000

Program Goals and Objectives:

Title I of P.L. 89-10, the Elementary and Secondary Education Act of 1965, authorized a national education program for disadvantaged children. In November 1966, Title I of ESEA was amended by P.L. 89-750 to incorporate special provisions for migrant chidlren of migrant agricultural workers. The new program provided for grants to State educational agencies (SEAs) or combinations of SEAs to establish or improve, either directly or through local educational agencies (LEAs), programs and projects designed to meet the special educational needs of migrant children. P.L. 89-750 also provided that grant monies were to be used for interstate coordination of migrant education programs and projects, including the transmittal of pertinent information of children's school records. Section 101 of P.L. 93-380 (the Education Amendments of 1974) further amended Title I to include migrant children of migrant fishermen. The Education Amendments of 1978 (P.L. 95-561) reorganized the Title I legislation; currently section 141-143 pertain to the Migrant Education.

1/ Commencing in 1976, the program is advance funded from the prior year appropriation. This resulted in a doubling up of funding in 1975, because funding for both 1975 ($91,953,160) and 1976 ($97,090,478) were appropriated in FY 75.

In discussions associated with the preparation of the Education Amendments of 1974, Congress emphasized "that local educational agencies should give priority attention in operating Title I programs to the basic cognitive skills in reading amd mathematics, and to related support activities to eliminate physical, emotional or social problems that impede the ability to acquire such skills." 2/ Final regulations (published in the Federal Register on April 3, 1980, 45 FR 22660) for the Migrant Education Program emphasize the same point with the inclusion of the following criteria for the approval of State applications (Section 204.39(b)): "Projects to be funded...hold reasonable promise of making substantial program toward meeting the special educational needs of the migratory children to be served, particularly any need for improvement in the basic academic subjects." In addition, Section 204.59(a) of the regulations states: "An SEA or an operating agency may provide health, nutritional, social, or other supporting services with migrant education funds, but only if these services are necessary to enable eligible migratory children to participate effectively in instructional services."

A list of services to be provided by the Migrant Education Program is contained in Section 204.51 of the final regulations:

> (1) Academic instruction; (2) Remedial and compensatory instruction' (3) Bilingual and multicultural instruction; (4) Vocational instruction and career education services; (5) Special guidance, counseling, and testing services; (6) Preschool services; (7) Other educational services that are not available to migratory children in adequate quantity or quality; and (8) The acquisition of instructional material--such as books and other printed or audiovisual materials--and equipment.

An implicit goal of the Migrant Education Program is to serve all eligible migrant students in order that they may benefit from "regular" and supplementary educational and supportive services. In the case of migrant students, identification and recruitment of eligible students requires special efforts.

Program Operations:

The Title I program for migrant children is a State-operated program which typically involves financial assistance to local educational agencies as subgrantees. Administrative responsibilities are shared by the U.S. Department of Education, State educational agencies, and local educational

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2/ See pp. 20-21 of House Report No. 93-805. Both House and Senate discussions (see Sentate Report No. 93-763, pp. 30-31) recognized that such an assertion was not intended to preempt the prerogatives of local authorities to give priority to other areas (e.g., teacher training), If such emphases were required to better meet the needs of disadvantaged children.

agencies and other public and non-profit private organizations which operate migrant education projects. Funding of local Title I migrant education projects is administered by ED through State educational agencies. The formula for computing the maximum grant a State may receive is based on the number of full-time (that is, formerly migratory and currently migratory intrastate students) or full-time equivalent (that is, currently migratory interstate students) school-aged (5-17 years) migrant children residing in the State over a 12 month period. Beginning in FY 1975, State allocations have been based on migrant student counts contained in the Migrant Student Record Transfer System, a computer system housed in Little Rock, Arkansas under contract to the State education agency. Changes made in the law by the Education Amendments of 1978 (P.L. 95-561), as reflected in final regulations, include: (1) providing a mechanism for adjusting the count of eligible migrant children in each State during the summer months in order to reflect the special needs of migrant children for summer projects and the additional costs of operating these projects (Section 204.20(b); and (2) authorizing the Secretary to reserve at least $6 million (and not more than 5% of the total national appropriation) for coordination of migrant education activities across States (Section 204.24).

The SEA is directly responsible for the administration and operation of the State's Title I migrant education program. The SEA approves or disapproves project proposals, and is responsible for the design and preparation of State evaluation reports. Annually, each SEA also submits a comprehensive plan and cost estimate for its statewide program to ED for approval. Section 204.12 of the regulations requires that this plan contain information on: the strategy for identifying and recruiting all eligible migratory children in the State; the estimated number of children in the State and the number of these children to be served; the educational needs of the children; the objectives for the program evaluation, how the measurement will be conducted, and how the results will be reported; the types of instructional services to be provided; the participation of parent advisory councils and parental involvement strategies; the efforts for assuring interstate and intrastate coordination (including full use of the Migrant Student Record Transfer System); the State's monitoring and enforcement plan; the use of Title I administrative funds; and the inservice training of staff members and the training of parent advisory council members. Each State application also contains an appropriate budget. Section 204.14 of the regulations states that the Secretary approves a State plan for migrant education only if it is designed to meet the special educational needs of migrant children and holds reasonable promise of making substantial progress toward meeting those needs.

If the State's application is approved, it is awarded a grant, entirely separate from its regular Title I application, to finance the migrant education program. Two or more SEAs are permitted to submit an application for a joint program or project to be administered under an appropriate interagency agreement.

An important component of the national program is the Migrant Student Record Transfer System (MSRTS). This computerized data system receives, stores, and transmits educational and health information on children participating in Title I migrant education projects in each of the 49 States, District of Columbia and Puerto Rico. Schools are responsible for submitting, to the local terminal operator, health-related, educational experience, and status information on the migrant children they serve. When children move to new locations, this information can then be retrieved by their new teachers and by school health officals.

Information from a recently completed study (Clayton, et al., 1980) of the student counts used to allocate funds for the Migrant Education Program indicated the following:

- MSRTS counts of migrant students provide an adequate and equitable source of data for use in the allocation of funds.
- Overall, the 1977, FTE counts (both for the nation as a whole, and for the geographic regions defined for the study) seemed to represent a conservative estimate of the total number of migrant children.

A GAO study (Sept, 16, 1975) of the use of the Migrant Student Record Transfer System as a means of estimating the number of full-time equivalent migrant children residing in each State concluded that MSRTS data were superior to Department of Labor data for determining migrant education program allocations. However, GAO did not assess the accuracy and completeness of the MSRTS data.

A 1978 internal audit of the administration of the Migrant Education Program resulted in a number of recommendations pertaining to: (1) the application process (including the use of specific criteria for assessing the quality of State applications the use of non-Federal readers, conduct of pre-grant site reviews, fixing application receipt and response dates, and employing sanctions to assure compliance with the terms and conditions of grant awards); (2) the allocation of program funds (including use of the by-pass mechanism and procedures for reallocating excess funds); (3) increasing parental involvement; (4) improving intrastate and interstate coordination; (5) re-ordering the priority given to preschool currently migratory children; and (6) raising the organizational structure of the Migrant Education Program from a branch to a division. Many of the recommendations have been incorporated into the final regulations (45 FR 22660).

Program Scope:

Migrant students typically are educationally and economically disadvantaged in comparison to the rest of American society, and in addition, active migrant students by definition miss the systematically sequenced and sustained educational programs available to most non-migrant children.

The following list indicates the number of full-time equivalent students enrolled on the MSRTS since 1973. These counts serve as the basis for program funding, e.g., the 1978 FTE figure was used to determine FY 1980 funding. One full-time equivalent equals 365 days of enrollment on the MSRTS.

Calendar Year	Full-time Equivalent Students (ages 5-17)
1973	212,473
1974	207,474
1975	267,791
1976	296,428
1977	323,504
1978	346,205
1979	369,082
1980	396,311

A count of the actual number of students identified as eligible for program services and enrolled on the MSRTS is provided below. Many students are not enrolled for the full calendar year, which accounts for the difference between FTE and actual counts.

Calendar Year	Number of Eligible Students
1976	458,241
1977	467,796
1978	494,417
1979	522,154
1980	550,253

The Migrant Education Program has grown from 121 projects in 1967 serving approximately 43,000 students to 3,000 projects in 1980 serving approximately 550,000 students.

Program Effectiveness and Progress:

In 1981, three final reports from the Study of ESEA Title I Migrant Education were published. These reports described the impact of the program (Wisenbaker, J.M., West, D.B., and Novak, T.P., 1981), future directions for evaluation activities (Pyecha, J.M., 1981), and summarized descriptive, impact and observational data (Cameron, B.F., 1981). The information detailed below is from the Comprehensive Summary (Cameron, B.F., 1981). Due to space limitations, much of the discussion of findings is not included here.

Major study findings are summarized by three topical areas: (a) general descriptive information about migrant children; (b) the types of compensatory instruction received by migrant children; and (c) the impact of the Migrant Education Program. Study findings should be considered applicable primarily to the children of migrant agricultural workers. Though samples included children of migrant fishers also, the population of fishers, and the portions of the samples representing that segment of the population, are too small to permit the exertion of much influence on study findings. Following these findings is a general hypothesis concerning the characteristics of the migrant child population, and the interaction of these characteristics with the distribution of services by the Migrant Education Program. This hypothesis is consistent with study findings, and it provides a logical and useful context for their proper interpretation.

A. Descriptive Information about Migrant Children

Major descriptive findings regarding migrant children are concerned with those children who in 1977 were in the 5-17 age range, and who had active enrollments on the MSRTS. These findings focus on: school enrollment and attendance patterns; race, ethnicity, and English-language competence; and mobility. Findings regarding academic achievement in reading and mathematics (No. 2, below), and program impact (Section C) are concerned with migrant children in school in grades 2, 4, and 6 in January 1978.

1. School Enrollment and Attendance

- Those migrant children enrolled in school less than the full year miss, on the average, about six weeks of school during the calendar year.
- Only about 24 percent of the estimated population of 372,000 identified migrant children in 1977 showed enrollments in more than one school district during the calendar year; an additional 30 percent were enrolled in only one district during the year, but for less than the full year. The remaining 46 percent were enrolled in the same school district for the full calendar year.
- Throughout the grade levels, migrant children are significantly older than their modal cohorts of all school children in the specific grade (or of all Blacks in the specific grade). For example, in kindergarten and first grade, about 30 percent of migrant children are older than the modal age-for-grade; the proportion over modal age at grade 8 increases to about 50 percent. About 44 percent at grade 11 (when it may be assumed proportionally more older students have dropped out of school) are over modal age.
- During the periods when migrant children are enrolled in school their attendance rates are somewhat higher than those for the school population as a whole.
- There appears to be, from estimates of the migrant student population by grade level, rapid dropout of migrant students beginning at about the eighth grade.

2. Academic Achievement in Reading and Mathematics

- In terms of their pretest scores in reading (and, to a slightly lesser extent, their pretest scores in mathematics), migrant children in grades 2, 4, and 6 are significantly educationally disadvantaged. In early 1978, migrant children in grades 4 and 6 had mean scores 0.8 standard deviations below the grade-level counterpart general population in reading, and 0.6 standard deviations below the counterpart general population in mathematics (because the migrant population is significantly over age in grade, the age-based discrepancy would be much larger). On the reading test, across all three grades, it is estimated that at least 48 to 62 percent of the migrant children scored below the 25th percentile for the population as a whole; on the mathematics test, at least 27 to 39 percent scored below the 25th percentile. The degree of this disadvantage overshadows all other education-related factors for these children.

- Migrant children in grade 2, 4, and 6 showed statistically significant gains in reading and mathematics test scores over the year between pretest and posttest; in fact, reading score gains (expressed in standard scale score points) are nearly as high as the gains expected for the population as a whole. Nevertheless, the absolute achievement of migrant children appears to fail farther behind that of the general population population as the children get older.

3. Race, Ethnicity, and English Language Competence

- The national population of migrant children in 1977 was preponderantly Hispanic, with the large majority of Hispanics being Mexican American.

- Hispanic migrants were singificantly more active (mobile) than other racial or ethnic groups. Most Black migrants appeared to have settled out, and were presumedly being replaced by Hispanic in the active population.

- Most migrant children were thought by their teachers to display sufficient facility with the English language for this factor alone not to be an important impediment to academic achievement. Nevertheless, the group whose language proficiency was judged by teachers to be sufficiently limited for it to interfere with classroom work was large enough to warrant continued concentrated attention, particularly in the early school years.

4. The Mobility of Migrant Children

- None of the informtion readily accessible to this study revealed as great a degree of movement for the migrant population as is generally expected. However, it is probably that the greater difficulty experienced in keeping track of the more mobile members of the population (who are often unidentified, unserved, and out of school) distorts the inferences made about mobility from accessible records (from the study's survey or from MSRTS) to such a degree that valid statements about the mobility of the entire migrant population cannot be made with assurance from any available data. Study data do, however, permit valid inferences about the mobility of the population served. Only 24 percent of the estimated population of 372,000 identified migrant children served by the Migrant Education Program were enrolled in more than one school district in 1977; 30 percent were enrolled in only one district, but for less than the full school year; and, the the remaining 46 percent (or nearly half) were enrolled in one district for the full school year. However, approximately half the children enrolled in one district for the entire year were classified as active migrants.

B. The Receipt of Compensatory Instruction by Migrant Children

° For the Nation as a whole, identified migrant children (i.e., those covered by this study) were over twice as likely as poor children in general to receive compensatory instruction. While most of this compensatory instruction was supplied through the Migrant Education Program (from which 64 percent of the elementary school migrant children received instruction), a migrant child was more likely than a poor nonmigrant child to receive also regular (LEA Grant) Title I instruction.

1. As Related to Mobility

° Migrant children classified (by a combination of survey data and MSRTS entries) as being active (interstate or intrastate) were somewhat more likely to receive instruction and support services funded by the Migrant Education Program than were inactive migrant children, whether or not their migrancy led to actual school disruption. Differences found were not great, however, and were not always statistically significant.

° Though inactive migrant children were less likely than active migrant children to receive instruction from the Migrant Education Program, fully one-fourth of the MEP-funded instructional effort went to formerly migrant children in 1977.

2. As Related to Subject Matter

° Nearly all migrant children (97 percent) at any school level who received any instruction funded by the Migrant Education Program received instruction in reading or language arts; 66 percent instruction in mathematics; and 39 percent received instruction in one or more than subjects.

3. As Related to School Level

- Elementary and secondary school migrant children were equally likely to receive some instruction funded by the Migrant Education Program during the regular school year. Participation in summer programs was heavily concentrated in the elementary school grades; however, three-fourths of the children who received migrant-funded instruction in summer school were enrolled in the first five grades; and an individual migrant child in one of these grades was three times as likely to receive instruction as was a high school migrant child.

4. During the Summer Term

- Though substantial portions of the compensatory instruction received by migrant chidlren during the regular school terms came from funding sources other than the Migrant Education Program, virtually all instruction provided during the summer came through the Migrant Education Program.

C. Impact of the Migrant Education Program

- Analyses of study data failed to indicate any consistent, significant relationship between pre-to-posttest score gains for migrant children in grades 2, 4, and 6, and any variable that had to do with compensatory instruction provided by the Migrant Education Program, or by any other funding source. In fact, no relationship was found between score gains and attendance in school. Given the one-year, pre-to posttest time period, the fact that pretest scores were generally low and large gains were not anticipated, and the global focus of the norm-referenced tests used in the study, this finding is not a surprising one.

D. A General Hypothesis Concerning the Migrant Population

A general conjecture, which is supported or variously implied in several different ways in the body of this report, can serve to synthesize most of the elements that are important in considering study results, and their significance to program policy and plans. This conjecture draws on the discovery that a large portion of the members of the study sample who were removed from the MSRTS in January 1979 because of the inactivity of their records were not only eligible migrant children, but were also among the most actively migrant in the sample. It is also consistent with good statistical evidence that nearly 40 percent of the children listed by the MSRTS and estimated to be in grades 2, 4, and 6 during the 1977-78 school year were found not to be in school in early 1978. Nevertheless, some conjecture and a degree of supposition are involved; consequently, this general result in couched as an hypothesis rather than as a finding.

The hypothesis may be stated as follows: The population of migrant agricultural workers that has regularly (or frequently) moved with children who are eligible to participate in the Migrant Education Program is composed of two (or perhaps three) tiers:

1) An established, relatively stable, population that has characteristics closely resembling those of the impact population for this study; it moves relatively little; it shields its children to a surprising degree from the rigors of migrant life and disrupted schooling; it is slightly more Hispanic than the general population of migrant workers; it makes maximum use of the Migrant Education Program; it returns regularly to the same home base; it tends to move in well-established patterns, returning each year to the same areas, at about the same time; and it contains something over half (but not all) of the population of eligible formerly-migrant children.

2) A constantly changing, relatively unstable, population that is only occasionally and fleetingly recognized by the Migrant Education Program, either by the provision of services or by enrollment on the MSRTS; it is largely invisible to established social agencies, such as schools; its children, traveling with their parents or guardians, are constantly subjected to severe rigors of migrant life, and seldom attend school in this country (and those who do attend school are likely to attend regularly); it contains a substantial representation of the formerly-migrant population, including many Blacks who are really tenant farmers, but who intermittently qualify as active migrants because of moves across school district lines; it is more frequently mobile than the first group, but moves are likely to be for shorter distances; a large portion of it's sizable Hispanic population has no stable home base in this country, and returns frequently to Mexico or one of the Caribbean islands.

3) A possible third group is a downward extension of the second, differing primarily in that it is almost completely invisible to formal social agencies, including the Migrant Education Program and the MSRTS recruiters; it is likely to contain from time to time large, a typical groups, perhaps transiently; if this group exists (and it is likely to), it was represented only incidentally and fleetingly in study samples.

The implication of this hypothesis, if it be tenable, for the findings of this study is obvious: the migrant children identified and studied, and forming the basis for this report, are drawn largely from the first tier.

The above summarizes the major findings of the study. However, during the course of the study, observations were made and various aspects of program operations as well. These observations are discussed in the Comprehensive Summary, which is available on request. The major conclusions of the study are presented below.

CONCLUSIONS FROM STUDY FINDINGS

At least partly through the mechanism of the Migrant Education Program, a larger proportion of the identified (by continuing enrollment of the MSRTS) migrant children receive compensatory instruction and other services than is recognized for any other group of disadvantaged children. Despite severe educational disadvantage, the migrant children who are served are learning in school, as attested by score gains on standard achievment tests the approximate the gains shown by non-migrant, nondisadvantaged children, even though migrant children appear to fall farther behind as they go through school. The fact that these score gains could not be associated with compensatory instruction, or with other school experiences, is not surprising in view of the imperfections associated with the tests themselves, and, particularly, of the fact that the approach used in seeking program impact for the study required the averaging of both score gains and service receipt over all children in diverse projects in all parts of the country.

Nevertheless, study results indicate that the group of children identified by repeated and continuing enrollment on the MSRTS, and served by the Migrant Education Program, consist primarily of subsets of the population of migrant children who move very little, or not at all; those who move tend to do so in stable and predictable patterns, returning year after year to the same places at about the same time. There is also good evidence for the existence of a group of much more actively migrant children that is served by the program much less well, if at all.

These study findings lead to a number of other conclusions regarding the identification and recruitment of migrant children, the provision of instructional services, and the coordination of these services within and between States. The summary presentation of these additional conclusions is organized by these topical areas.

A. Identification and Recruitment

The conduct of three components of the present study (the Validation Study, the Impact Study, and the Student Descriptive Component) produced a variety of information indicating that a large proportion of the migrant children identified and recruited (as reflected by MSRTS enrollments) were lost sight of; they were, in effect, "passing through", a limited contact with the Migrant Education Program. Moreover, many of these occasional and temporary enrollees are among the most active migrant children.

Conclusion: The results of the failure to recruit these children earlier, and to keep track of them better once they are identified and enrolled, are to deprive those children who have the greatest needs for the Migrant Education Program services of those services, to limit the continuity of education accessible to these children, and to decrease the number of FTEs that have formed the basis for the allocation of funds for the program.

B. The Provision of Program Services

The Migrant Education Program is charged with providing for the special educational needs of migrant children on a supplemental basis. Some of these special needs are associated directly with the act of moving, and are, in one way or another, consequences of the disruption of the normal process of education. The only children with these needs are those who move. (It is recognized and acknowledged that migrant children whose school experiences are not directly interrupted, and formerly migrant children, also have special needs that are included among those that the Migrant Education Program should strive to meet.) High in priority among the program needs directly associated with school disruption are those associated with interstate and intrastate coordination.

Conclusions: Nearly half of the compensatory instruction provided by the Migrant Education Program goes to children whose regular school year educational experiences are not interrupted by move; over half of this amount of instruction goes to formerly migrant children. If more of the educational needs (which undeniably exist) of this group of children could be met through other compensatory programs, it might be possible to divert from other applications some of the funds needed for improved recruitment and more effective coordination.

C. Interstate and Intrastate Coordination of Program Services

Throughout the planning and conduct of this study, it was noted that State Directors of Migrant Education have been clever and effective in devising ways to enhance the continuity of education for migrant children, particularly by providing mechanisms for coordination on an interstate basis (e.g., the MSRTS itself, and the development of the several skills lists). While some variation was noted , in most States local prerogatives in the design of education programs take precedence over cooperative efforts for migrant children. As a consequence, discontinuity of instruction for migrant children often results.

Conclusion: While the fully operational and continually updated description of a migrant child's educational experiences, transmitted through the MSRTS, may be very effective in reducing some of the effects of lack of continuity in education, it is unlikey that dramatic changes can take place unless the needs of each particular child are recognized as being paramount in the development of education plans, indicating that the subordination of some local and State prerogatives may be required.

Ongoing and Planned Projects:

No studies are currently underway. Future studies of the migrant program are now under discussion.

Sources of Evalaution Data:

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Pyecha, J.N. Revised Strategy for Evaluation the ESEA Title I Migrant Education Program at the National and State Levels. Research Triangle Park, N.C.: Research Triangle Institute, January, 1981.

Wisenbaker, J.M., West, P.B., and Novak, T.P. Impact of the ESEA Title I Migrant Education Program on the Reading and Mathematics Achievement of Participating Students in the Second, Fourth, and Sixth Grades-Final Technical Report. Research Triangle Park, N.C.: Research Triangle Institute, January, 1981.

Evaluation of the Impact of ESEA Title I Program for Migrant Children of Migrant Agricultural Workers (Volume I-IV). Falls Chruch, Virginia: Exotech System, Inc., January 1974.

Evaluation of the Migrants Student Record Transfer System (MWD-76-21). Washington, D.C.: General Accounting Office, September 1975.

Grants to State Educational Agencies to Meet the Special Educational Needs of Migratory Children: Rules and Regulations (Final). 45 Federal Register 22660 (April 3, 1980).

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Title I Program for Institutionalized Neglected or Delinquent Children

Legislation:	Expiration Date:
Title I of the Elementary and Secondary Education Act of 1965, as amended by P.L. 95-561.	September 1983

Funding History:	Year:	Authorization:	Appropriation: 1/
	1969	$13,946,100	$13,946,100
	1970	15,962,850	16,006,487
	1971	18,194,106	18,194,106
	1972	20,212,666	20,212,666
	1973 2/	27,545,379	27,545,379
	1974	25,448,869	25,448,869
	1975 3/	47,724,183	47,724,183
	1976 (FY 1977)	28,841,151	28,841,151
	1977 (FY 1978)	29,821,338	29,821,338
	1978 (FY 1979)	31,807,484	31,807,484
	1979 (FY 1980)	33,182,207	33,182,207
	1980 (FY 1981)	32,391,655	32,391,655
	1981 (FY 1982)	38,587,000	33,975,000 (revised budget)

Program Goals and Objectives:

Title I of the Elementary and Secondary Education Act of 1965 has two major parts: A and B. Part A provides for grants to local school districts (and is described in a separate chapter in this report); Part B has three subparts providing grants to State agencies for (1) programs for migratory children, (2) programs for handicapped children, and (3) programs for neglected and delinquent children. This chapter describes the operations and effects of the program authorized by the third subpart.

1/ Section 193 of ESEA, Title I requires that grants for the Part B State-operated program for the neglected or delinquent (as well as those for State programs for the handicapped and for migrant children) be awarded as authorized. This is referred to as "off-the-top funding" or being "fully funded," in contrast to LEA grants that are reduced as necessitated by appropriations.

2/ Beginning in 1973, unlike the previous years, funds were authorized and appropriated to serve children in adult correctional institutions. About $6.8 million of the $7.3 million overall increase between 1972 and 1973 is attributable to the addition of that population.

3/ Commencing 1976 the program became advance-funded from the prior year's appropriation bill. This resulted in a doubling up of funding in 1975.

As a subprogram of Title I, it shares the overall program's goals as stated in P.L. 89-10; that is, to

> "improve educational programs by various means (including preschool programs) which contribute particularly to meeting the special educational needs of educationally deprived children." (Section 101 of P.L. 89-10.)

The amendments in P.L. 89-750 passed on November 3, 1966, which added institutionalized neglected or delinquent youth (as well as children of migratory agricultural workers and Indian children in B.I.A. schools) to those eligible under P.L. 89-10, stated goals for these programs. Section 152 of Title I states that projects supported by these Part B grants for the neglected or delinquent must be "designed to support educational services supplemental to the basic education of such children which must be provided by the State...."

Program Operations:

The Title I program for children in institutions for neglected or delinquent youth or in adult corrections facilities is authorized by Sections 151-153 of Title I. Section 151 describes the computation of grants; Section 152, the requirements on such grantees; and Section 153, a new provision for services to students released from these institutions to provide special educational services to them in their regular local schools. Each of these topics is discussed below.

State agencies eligible for these Part B grants are those "directly responsible for providing free public education for children in institutions for neglected or delinquent children or in adult correctional institutions" (Section 151 (a) of ESEA Title I). Such agencies are units called typically "Department of Youth Services," "Department of Corrections," "Department of Offender Rehabilitation," "Youth Commission," etc. Each State can have as many as three or four of these, and they are the direct Title I grantees, supervised as other Title I grantees, by the State educational agency (SEA) as described in Part C of Title I, "State Administration of Programs and Projects."

The size of each agency's grant is, according to Section 151 of Title I, equal to the average daily attendance of children receiving free public education in the agency's schools multiplied by 40% of the State's average per pupil expenditure (or no less than 80% of the U.S. average per pupil expenditure and no more than 120% of the U.S. average). (Further, Section 157 states that for Fiscal Years 79-83 no State agency shall receive less than 85% of what it received the previous year.)

Section 152 of the law contains the requirements for Title I programs in the State. As noted above, the Section says that the projects must "support educational services supplemental to the education" provided by the State. Also incorporated by reference are the requirements defined for the Part A local school district grantees such as having the project application approved by the State education agency (Section 121); designing and implementing a program of sufficient size, scope, and quality based on a needs assessment, coordinated with other programs, evaluated, with teacher, parent, and local administrators' participation, etc., (Section 124); adhering to the Title I fiscal requirements of maintenance of effort, excess costs, and supplement-not-supplant (Section 126 except paragraphs (d) and (e)); being accountable by keeping records and reporting (Section 127); providing for the resolution of complaints from parents, teachers, or other concerned individuals (Section 128); and whenever feasible, using individualized educational plans for students served by Title I (Section 129). (The only requirements of local Part A grantees which are waived by law for the Part B State agency grantees are Section 122 designating attendance areas, Section 123 requiring selection of the neediest students for services, Section 125 establishing Parent Advisory Councils, two paragraphs of Section 126 as noted above, and Section 130 about services to nonpublic school students.)

A study of State institutions receiving Title I funds in 1977 documented the numbers of children served, the nature of those services, the management of the program at the institution and State levels, and the flow of funds among the administrative levels. The study involved visits to 100 randomly selected institutions and interviews with students, teachers, and administrators in those sites. Interviews were also conducted with Title I administrators responsible for the N or D program in all States (as well as in Puerto Rico and the District of Columbia) including those in both the State Education Agency (SEA) and in the State Applicant Agency (SAA; e.g., the Department of Corrections, Youth Authority, etc.).

The flow of funds to Part B grantees were documented from these interviews and records. Funds available at the State level for education in institutions for neglected youth, delinquents, or adult offenders average about $2.1 million per State, ranging from about $17,000 to over $10 million. On the average, approximately 68% of these funds are from the State, 20% from ESEA Title I, and 12% from other federal sources. The average Title I grant is about $500,000 with a range of $24,000 to over $2.2 million. State funds average about $2 million, providing a typical per-pupil expenditure from all sources just slightly less than that found in public schools (System Development Corporation, 1977).

In the facilities, the funds are spent primarily on staff and materials. Nearly 75% of the Title I funds, on the average, support staff; this compares with 81% of the State funds being so used, and 40% of the funds from other Federal programs. In the case of Title I, nearly all those staff (over 80%

on the average) are classroom personnel--teachers and paid aides; about 3% are administrators, about 6% counselors, and about 11% other types of support personnel. (This is in marked contrast with the expenditure pattern for staff from State funds and other Federal funds: in the case of the former, only about 41%, on the average, supports classroom personnel, 12% for administrators, and 37% for other support.) This seems to confirm interviewees' reports in the national study that the emphasis in Title I is on instruction (System Development Corporation, 1977).

On the average the Title I per-pupil expenditure in the institutions is $456, but the figures range from less than $100 to almost $1,700. For over 65% of the institutions, $500 or less was the Title I per pupil expenditure. Inclusion of funds from all sources raises the average per-pupil costs for Title I students to about $1,350 (again, however, with a large range). The comparable figures for that same year in public schools was an average per-pupil expenditure of $1,550. (Most of the difference between the two figures is attributable to an extremely low per-pupil expenditure in institutions for adults.)

Program Scope:

Almost 27,000 children were receiving Title I services in State institutions in the fall of 1976. Of these, 2,550 were in institutions for the neglected, 16,730 in those for delinquent youth, and a little over 7,560 in those for adults. This compares to an estimate of just over 51,000 as eligible to participate in the program nationwide. Eligible students are those who are younger than 21, lack a high school diploma, participate in a regular program, and are low-achievers.

The number of children being served are shown in Figure 1. Also illustrated there are estimates of eligible children not being served by Title I. About 72% of the eligible neglected children in these institutions are being served by Title I, about 65% of the eligible delinquents, about 34% of the youth in facilities for adults.

In 20% of the institutions with Title I projects, those projects are able to serve all the eligible students; 55% of the institutions can serve half or more of the eligible students. Most of the sites who cannot serve at least half the eligible student population are institutions for adults. (Over 60% of them report this problem.)

An amendment introduced by Representative Simon of Illinois to the Higher Education Act of 1980 requests information as available on the effects of Federal education programs on students of different race, sex, and language groupings. Data are available from the national study on the sex, age, and race of participants in this program in Fiscal Year 1977. (There is no reason to expect the proportions to have changed since then.)

The figures are in Table 1.

The children participating in Title I greatly resemble those in the institutions as a whole, except, as would be expected, they are younger. With regard to sex, race, and commitment status, they are not significantly different from the general resident population. Also, their average length of stay is similar to that of the other residents: about 80% of the students in facilities for the neglected are there for 6 months or more; close to 60% of the youth in facilities for delinquents or adults are in the program 6 months or longer. The Title I students do exhibit more educational problems, however: the institutional students scored about the same on standardized tests as fifth graders in public schools; Title I students, about the same as fourth graders.

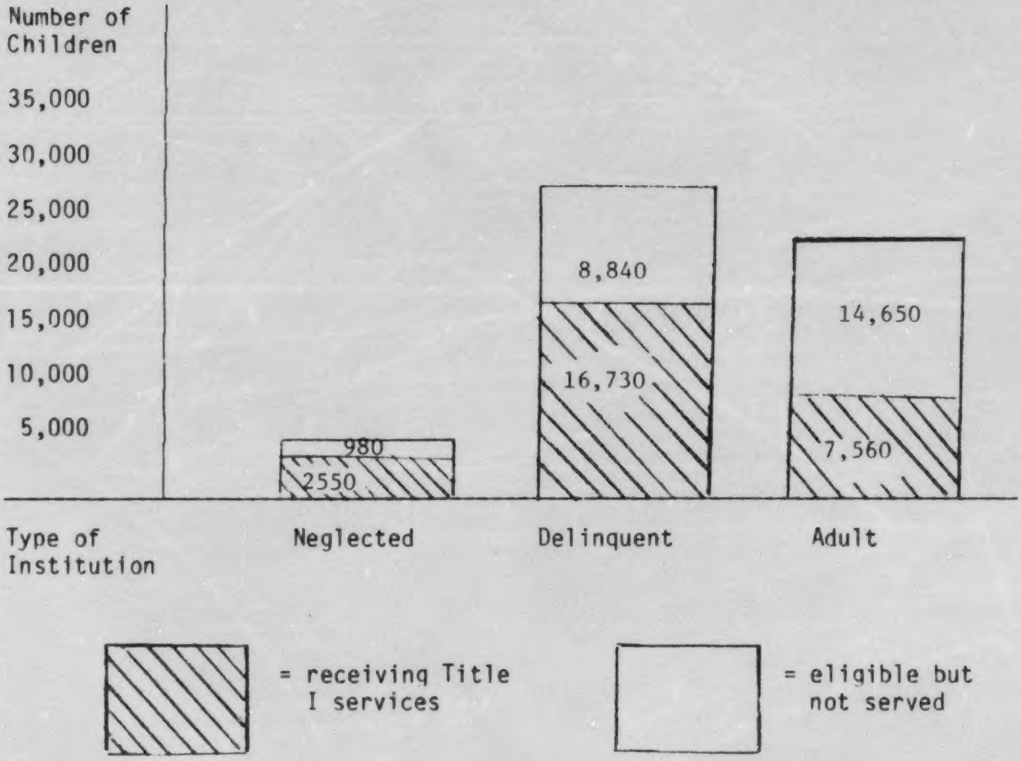

Figure 1. Number of children enrolled in the ESEA Title I program for institutionalized youth in the fall of 1976.

Table 1

Characteristics of Title I Students in Institutions for the Neglected Delinquent or Adult Offender in the Fall of 1976

Characteristics	Type of Institution					
	Neglected		Delinquent		Adult	
Age	#	(%)	#	(%)	#	(%)
13 or less	459	(18)	2,008	(12)	0	(0)
14-15	1,071	(42)	6,023	(36)	0	(0)
16-17	995	(39)	6,692	(40)	1,058	(14)
18-20	26	(1)	2,008	(12)	6,048	(80)
21 or more	0	(0)	0	(0)	454	(6)
Ethnicity						
Native American	153	(6)	335	(2)	76	(1)
Asian	26	(1)	167	(1)	0	(0)
Black	791	(31)	5,856	(35)	4,082	(54)
White	1,377	(54)	7,696	(46)	2,873	(38)
Hispanic	179	(7)	2,844	(17)	529	(7)
Sex						
Female	1,122	(44)	1,673	(10)	605	(8)
Male	1,428	(56)	15,057	(90)	6,955	(92)

The nature of Title I varies considerably from site to site according to how education, itself is organized in the facilities. In some cases, facility may have the appearance of a junior college campus with security concerns only slightly in evidence. In such a case, residents might be expected to live in small (10-15 person) cottages and to move freely to other buildings, such as those for classes. On the other hand, a facility with an obvious, over-riding orientation toward security concerns might consist merely of a large fenced-in building with two classrooms, perhaps a shop and library, in one wing. Occasionally classes might be held in multi-purpose rooms serving as dining halls or gymnasiums.

Education and the attention it receives from staff and students vary as much across institutions as do physical facilities. In some cases, education must, according to State law, be comparable to that of public schools. Residents must attend classes, and their progress is sometimes rewarded by access to better living areas (those with color television, for example) and to special privileges. In such a case, the residents' school day may look considerably like that in regular schools. A contrast would be institutions in which only a small percentage or the inmates are in education activities, or those (18% of the cases) in which educational activities are not accredited by the State (System Development Corporation, 1977b).

Hence, education in the institutions varies considerably, and consequently, so does Title I. Participation in a Title I project can be described in terms of the needs assessment, selection processes, and the actual delivery of services. Diagnostic testing (either at the institution itself or in a State facility maintained especially for that purpose) is used most frequently to assess residents' needs and to select them for participation in Title I. This testing almost always assesses academic achievement, and may be supplemented by tests for special learning problems (in half the cases) or by inventories measuring IQ, attitudinal, or personality traits (in one-third of the cases.)

As required by the law, and substantiated through interviews with administrators, Title I services are offered as a supplement to those provided by the State. When documenting student receipt of services in reading and math from all sources, however, it was found that Title I students actually receive fewer hours of instruction in these two areas than do non-Title I students. This is due to both institutional and individual reasons: (1) institutions often view their Title I classes more as electives or extras and cancel them more often (for field trips or whatever) than they cancel non-Title I classes and (2) Title I students schedule other activities such as visits to the nurse or meetings with their lawyers at the time they're supposed to be in Title I, or they have a worse attendance record due to sickness or being in lock-up. This amounts to Title I students, on the average, receiving as much as an hour less of reading instruction each week than non-Title I students. On the average, Title I students were receiving about 70% of what was being offered. This problem--of Title I often not being completely implemented as designed --was pursued further in an in-depth study in nine institutions and will receive special attention as Federal policy-makers formulate steps to improve the program.

Instructional staff in Title I project were also described in the study. They tend to be better educated than other teachers in the institutional settings: that is, whereas almost all the Title I teachers have earned at least a bachelor's degree, this is less common among the non-Title I teachers (of whom a little over 10% have no college degree). Also, nearly 2/5 of all Title I teachers have done graduate work. Their teaching experience is comparable to that of other teachers in institutions: about 3-4 years in both correctional and non-correctional settings.

Many educators in these institutions have noted the problems of students returning to local public schools after release from a corrections facility. A study by the General Accounting Office in 1977 confirmed these reports, especially for the older students. As part of the national evaluation, the status of over 600 students was documented between 3 and 6 months after their release from an institution. It was learned that 3/4 of them had returned to their parents' homes, 1/2 to school. Of those returning to school, however, 80% had dropped out by the time of the contact, citing their poor performance level, the public school's more rigid scheduling, and their problems associated with arriving at mid-term.

In 1978, Congress added Section 153 to Title I authorizing grants to State and local educational agencies to "facilitate the transition of children from State-operated institutions for neglected or delinquent children into locally operated programs." Up to 5% of the funds authorized for the Part B programs in these State institutions is authorized for these Section 153 grants. No funds have yet been appropriated for this provision, but $1,000,000 was requested to support grants for school year 1981-82.

Program Effectiveness and Progress:

The addition of this program to Title I in 1966 represented the first Federal effort to improve the educational experiences of children in institutions for neglected or delinquent. The impacts of such an effort are varied, of course. Teachers and educational administrators note a positive change in many facilities in that education programs gained importance and legitimacy. They also describe improvements attributed to the establishment, through the advent of a national educational program, of an informal network of educators with problems and concerns in common.

It is important, of course, to examine the effects of the instructional services on students' skills. Data collected in the school year 77-78 in 40 sites included test scores on specially constructed, focused instruments in reading and mathematics (used four times at six week intervals), a nationally standardized norm-referenced test (given once), and measures of self-concept (administered twice). About 1500-1700 students -- Title I and non-Title I -- were tested each time and highlights of this evaluation were as follows:

- There was not much change over the repeated testings in either reading or math: Title I students usually got about 60% of the items correct while the non-Title I students scored higher, on the average, getting about 75% of the items correct. It is important to emphasize that because the two groups differ, a strict comparison in their improvement over time in order to assess Title I is not appropriate. Rather, one must adjust, as possible, for their differences at the beginning and still interpret the results (comparing adjusted scores) with caution. Even given such adjustments, the Title I services did not appear to improve student improvement over and above that expected due merely to a regular institutional education program. (One must also recall from the previous pages that in many cases Title I scheduling problems for the institutions or students themselves prevented their receiving as much instruction in the basic skills as their non-Title I peers; hence, a finding of no extra growth makes some sense.)

- On the nationally standardized test, Title I students (most of whom are 14-16 years old) scored, on the average, at about the same level as average fourth graders (modal age of nine years old) in public schools; non-Title I students also performed well-below their age level, scoring about the same as average fifth-graders (System Development Corporation, 1979.)

It is important to note that these are overall, national summary statements. There are some sites in the study whose students showed a different pattern than the one described above. Those sites were included in an in-depth study to define what might be the most effective educational strategies in these settings. The findings suggest that student growth is improved in sites which:

- emphasize educational scheduling;

- have teachers performing fewer maintenance duties during class time such as ushering students to the next class, tracking the whereabouts of those who fail to show up, and accounting for supplies; and

- use audio-visual materials to enhance or supplement the class lessons rather than to merely keep the students occupied.

Details of the findings are being reviewed for applicability to Federal policy regarding the programs in these sites. Also under review are ideas developed for institutions to use in their required evaluation. A committee comprised of federal, state and local personnel will be formal during Fiscal Year 1982 to consider the findings of the study and possible policy recommendation.

Ongoing and Planned Evaluation Studies:

No additional studies are planned at least until after the next reauthorization.

Source of Evaluation Data:

Current

Federal Register, "Grants to State Agencies for Programs to Meet the Special Educational Needs of Children in Institutions for Neglected Children", Volume 43, Number 65, Tuesday, April 4, 1978, pp. 14292-14296.

General Accounting Office, "Re-evaluation Needed of Educational Assistance for Institutionalized Neglected Children", "Report to Congress by the Comptroller General of the United States, December 19, 1977.

National Center for Education Statistics, "The Condition of Education", Volume 3, Part I, 1977.

System Development Corporation, "Compensatory Education and Confined Youth: A National Evaluation of Title I Programs in State Institutions for Neglected or Delinquent Youth." Report for Contract 300-76-0093 with the U.S. Office of Education, Santa Monica, CA, 1977.

System Development Corporation, "Compensatory Education and Confined Youth: A National Evaluation of Title I Programs in State Institutions for Neglected or Delinquent Youth." Report for Contract 300-76-0093 with the U.S. Office of Education, Santa Monica, CA, 1979.

System Development Corporation, "Post-Release Experience of Students From State Correctional Institutions." Report for Contract 300-76-0093 with the U.S. Office of Education, Santa Monica, CA, 1979.

System Development Corporation, "Compensatory Education and Confined Youth: A Final Report." Report for Contract 300-76-0093 with the U.S. Office of Education, Santa Monica, CA, 1980.

System Development Corporation, "The Substudy of Effective Practices." Report for Contract 300-76-0093 with the U.S. Office of Education, Santa Monica, CA, 1980.

Other

System Development Corporation, National Evaluation of Title I Progess for Neglected or Delinquent Youth in State Institutions," Interim Reports for Contract 300-76-0093 with the U.S. Office of Education, Santa Monica, CA, 1977.

System Development Corporation, "Handbook for Evaluation of Title I Program in State Institutions for Neglected or Delinquent Youth." Report for Contract 300-76-0093 with the U.S. Office of Education, Santa Monica, CA, 1978.

System Development Corporation, "National Evaluation, Phase II," Report for Contract 300-76-0093, Santa Monica, CA, 1979

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Program Name:

Basic Skills Improvement Program

Legislation:	Expiration Date:
Elementary and Secondary Education Act of 1965, Title II, as amended by Public Law 95-561	FY 1983

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
Right-to-Read	1971	$ Indefinite	$ 2,000,000
"	1972	Indefinite	12,000,000
"	1973	Indefinite	12,000,000
"	1974	Indefinite	12,000,000
"	1975	Indefinite	12,000,000
"	1976	118,800,000	23,800,000
"	1977	139,200,000	26,000,000
"	1978	144,200,000	27,000,000
"	1979	144,200,000	27,000,000
Basic Skills Imp.	1980		35,000,000
	1981	-	31,500,000

Program Goals and Objectives:

The Basic Skills program, initiated in fiscal year 1980, expanded the focus of the National Reading Improvement program to include mathematics and written and oral communication. The authorizing legislation for Basic Skills has three components. Part A contains an authority to fund demonstrations for the improvement of instruction in the basic skills for youth and adults and provisions for technical assistance and dissemination. Part A includes the use of technology in basic skills instruction. Part B contains authority for a State grant program designed to stimulate State education agencies to coordinate their resources in seeking improved ways to teach the basic skills and to provide the needed leadership to bring about these changes. Part C contains authority for special programs to improve the basic skills (the Inexpensive Book Distribution program and the Special Mathematics program). The program legislation stipulates that Part A must be funded at no more or less than $20 million before funds may be used for Part B, the focal point of the basic skills effort. As a result, any funding growth in the program must be in the State program (Part B) or the Special program (Part C).

The program focus of this legislation is not to provide a new add-on program at the State or local level but rather to maximize the effectiveness of the assistance already being provided by stimulating the:

(a) Development of comprehensive State plans to improve the delivery of basic skills instruction for the children, youth and adults of the State; and

(b) Coordination and orchestration of Federal and State programs to avoid conflict, unnecessary overlap, duplication, fragmentation in basic skills improvement efforts, creating a synergistic approach to basic skills improvement at the State and local levels.

Program Operation:

The Basic Skills Improvement Program, launched October 1979 as the successor effort to The National Reading Improvement Program, included the following planned components:

1. Coordination activities involving Basic Skills - related programs at the Federal level.
2. Similar coordination needs for Basic Skills at State and local levels.
3. The desirable interrelationships to forge productive coordination patterns at all three levels (Federal, State, and local) and the necessary agreements and organizational arrangements that will sustain those desired patterns.
4. Conceptual and cognitive research to define and assess the potentials and limit of a National Basic Skills Improvement Program; the role of other participant factors in such programmatic efforts (communities, local agencies, parents, etc.).

The following are the specific component activities for which funding is requested under this program:

Part A (National) Activities

1. Technical Assistance. To assist State and local education agency personnel in carrying out effective basic skills programs, regional basic skills teams provide comprehensive technical assistance.

2. Instruction in Basic Skills. To improve basic skills competencies at the school level, funds are used for school-wide basic skills activities in reading, math and communication skills. These include diagnostic assessment of student needs, development of basic skills learning objectives, and implementation of basic skills programs to meet those objectives.

3. Parental Involvement in Basic Skills. This component supports the development and dissemination of informational materials and the training of parents to stimulate them to assist their children in improving basic skills.

4. Use of Technology in Basic Skills Instruction. Audio and video instructional materials will be developed and made available for students and teachers to expand the variety and improve the quality of basic skills instruction.

5. Involvement of Educational Agencies and Private Organizations. This component authorizes the funding of voluntary tutorial programs for children and adults outside the school setting to motivate them to approve their reading and math skills.

6. Collection and Dissemination of Information Relating to Basic Skills Programs. To assist teachers and LEA personnel, these funds will be used for studies and dissemination of information about materials, processes, practices, procedures and programs that have been successful in improving the achievement of students in the basic skills.

7. Coordination. Support for this component, which began in 1981, is sought to continue a clearinghouse and technical assistance activities to help coorindate the various Federal offices and federally-funded projects promoting basic skills imrovement.

Part B (State Activities)

To develop and implement agreements for statewide basic skills programs and to carry out leadership and training activities, funds are requested to implement the State basic skills improvement program. Funds provided under this part would be divided equally between sections 222 and 224, with each State receiving a minimum of $50,000 under each section and the remainder being distributed to the States on the basis of its school-age population (five to seventeen years).

1. Agreements with State Educational Agencies (Section 222). Funds distributed to States under this section will be used primarily to award small grants to their local school districts to carry out activities stipulated in the comprehensive basic skills program developed by each State. Specific activities to be carried out will differ for each State, not only on the basis of a needs assessment done by the individual State, but on the basis of needs as determined, in turn, by each local educational agency.

2. State Leadership Program (Section 224). The major objective of this activity is for the Stats to provide for developmental training and technical assistance activities for teachers and other school personnel. Other authorized activities include statewide assessment of students and teacher needs relating to overall skills improvement, and major planning and strategy development activities.

Part C (Special Activities)

1. Inexpensvie Book Distribution Program. To provide motivation to children to learn to read, this component supports the distribution of inexpensive books to students, supporting 75 percent of the cost of purchasing the books. (Books distributed to children of migrant and seasonal farmworkers, however, are totally supported by Federal funds.)

2. Special Mathematics Program. To improve mastery of mathematics skills, this component provides for the teaching of standard mathematics to eligible children through instruction in advanced mathematics by qualified instructors.

Program Scope:

The FY 81 appropriation for Basic Skills Improvement of $31.5 million represents a $3.5 million decrease from the FY 80 levels of $35 million.

Basic Skills Programs

Part A	(Subtotal)	$17,225,000
Technical Assistance		1,360,000
Instruction in Basic Skills		6,685,000
Parental Involvement		1,050,000
Use of Technology		1,800,000
Involvement of Educational Agencies and Private Organizations		5,140,000
Collection and Dissemination of Information		1,190,000
Coordination		-0-

Part B	(Subtotal)	$ 7,750,000
State Basic Skills		7,750,000
Part C	(Subtotal)	$ 6,525,000
Inexpensive Book Distribution Program		5,850,000
Special Mathematics Program		675,000
	Total	$ 31,500,000

1. Evaluation of the Right-to-Read Special Emphasis Project (July 1980)

The purpose of this study was to evaluate the effectiveness of seven Special Emphasis Projects as defined in Public Law 93-380, Section 721, and amended by Public Law 94-194, Section 10. Special Emphasis Projects were authorized under this legislation to determine, over a three-year period, if the use of reading specialists, reading teachers, and intensive summer reading programs would impact on children's ability to learn to read.

The legislation called for a demonstration project including:

1. The teaching of reading by reading specialists for all children in grades one and two.

2. The teaching of reading by reading specialists for children in grades three through six who are experiencing reading problems.

3. The determination of the effectiveness of intensive instruction by reading specialists.

4. The provision of a vacation reading program.

5. Authorization for the Secretary to contract with local education agencies.

Accordingly, local districts which wished to participate were required to assure that:

- All first and second graders in the experimental school would receive intensive reading instruction;

- All students in grades three through six in the experimental school who had reading problems would be given intensive instruction in reading;

- An intensive summer program would be available for the project school students who were performing below grade level, and this service would not be available to the control school children;

- They would cooperate with an external evaluation to be conducted by the Secretary or his/her contractor; and

- The instructional plan would be formulated through consultations with many parties; including the district administration, parents, and faculty of the project school, and that this plan would include a diagnostic/prescriptive approach and be part of a comprehensive reading program in the project school.

Overall, the regulations were comprehensive and responsive to the legislation and the original intent of its sponsors. However, the combined effect of the legislation and the regulations had precluded conducting a rigorously controlled experiment. Some of the factors involved have been:

- The diversity of instructional approaches and the use of mediated reading systems at some sites (e.g. DISTAR, Precision Teaching System).

- Use of prior-assigned reading specialists at some control sites.

- Supplemental funding and resources available to control sites from non-BSIP sources, such as Title I.

- Use of teacher aides at both experimental and control sites.

- The use of assistance contracts (rather than procurement contracts) minimized the level of programmatic control that USOE could exercise.

Eight Special Emphasis projects were funded in 1976. Of these, six were refunded, and one new project was funded for school years 1977-78 and 1978-79. The seven Special Emphasis projects which operated in 1977-78 and 1978-79 are included in this evaluation. These projects were located in Louisiana, Michigan, Ohio, Tennessee, Texas, West Virginia, and California.

The working hypothesis of the Special Emphasis Project was that intensive programs of reading instruction introduced at an early age would effect significant improvement in patterns of reading achievement in schools having large numbers of low achieving students. The data collected and analyzed from the seven project sites for this evaluation study reveal that Special Emphasis sites themselves can be classified according to the degree to which they implemented the Special Emphasis concept program. Of the three sites with the highest implementation ratings (Louisiana, Tennessee, and Texas), two showed evidence of impact favoring Special Emphasis student groups. The data suggest that program implementation had a determining influence on program success and consequently on student performance. Of the sites achieving low implementation ratings (Michigan, Ohio, West Virginia, and California), significant differences between Special Emphasis and comparison student groups were scattered between the two student groups. Because it is questionable that Special Emphasis was in fact operationalized at these four sites, the few instances of impact favoring Special Emphasis groups cannot be construed as evidence of program success.

In summary, those sites which (1) most closely followed the program guidelines, (2) teamed the reading specialist in the classroom with the regular classroom teacher, and (3) developed a high degree of staff participation in the program through inservice training, experienced the greatest impact on student reading scores. Practical experimental problems including the confounding influence of other programs, lack of comparability between treatment and comparison schools, and the lack of precision of the measurement instrument may mask the true efficacy of the Special Emphasis concept.

2. An Evaluation of the Right-to-Read Inexpensive Book Distribution Program (Final Report) (October 1980).

The specific objectives of the study were:

(1) To determine the effectiveness of the IBDP in generating reading motivation (a psychosocial analysis)

(2) To describe the process by which books are acquired and distributed to children (a distribution analysis).

The USOE contracted originally for a two-phase study. Phase I was to consist of design and developmental activities (formulation of the study design, instrument design, development of the data collection plan). Phase II was to consist of data collection and reporting.

In order to meet the two study objectives, GRC implemented a two-part research program corresponding to these. Part One involved the investigation of the effectiveness of the IBDP in generating reading motivation. This aspect of the research required the identification of the dependent variable, reading motivation, and the independent variables which contribute to or are incorporated in the motivation to read. Independent variables include program characteristics, self-reports on attitudes and behaviors, observations of teachers and parents, and demographic variables. Part Two can best be described as an investigation of the IBDP process--a descriptive assessment of the design, management, and administration of the IBDP in terms of program objectives and efficiency.

Funds for the project were nearly exhausted prior to the activation of the second stage of the two-stage data collection planned to achieve the purposes of the reading motivation analysis. The final report did not reflect the planned pre-and post-analysis which had been designed to generate information about children's attitudes, expectations, peer influences, family reading patterns/ expectations/influences, and community and school influences. The two-stage data collection was to provide insight into changes, i.e., the dynamics, of reading motivation among some 9800 children; a single-stage data collection (which was not planned for, but was realized) would provide only a (static) pattern of the relationships in reading motivation. Neither a dynamic nor a static analysis was developed in the final report; the final report is a descriptive account of the structure of the reading motivation plan and its field activities.

Curtailed funding also reduced the scope of the distribution analysis. The booksuppliers survey, which was collected along with the subcontractors (local sponsors) survey, combined with the RIF management office survey, constituted the three major components of the RIF distribution system (RIF headquarters, sponsors, and booksuppliers). The booksuppliers survey was deleted from the final report; the RIF headquarters survey and the sponsors' surveys are described in the final report.

Ongoing and Planned Evaluation Studies:

The Basic Skills Improvement Program plans a continuous evaluation study throughout its four years of authorized legislation. During the first year the BSIP in cooperation with the Office of Planning and Evaluation has awarded a contract to perform the following:

1. Develop a description model of Part A projects which include in-school, out-of-school and

parent participation programs. Data gathered will be analyzed to determine whether or not the Basic Skills Program is meeting legislated goals.

2. Develop a predictive model of success and plan to apply it to about 25 Part A projects. Data gathered under this model will be analyzed to determine which components of a project contribute to project success.

3. Field visit seven selected Part B, State Basic Skills Projects as representative case studies.

In addition, the BSIP has arranged through a contract to have agencywide materials (basic skills products) evaluated for their marketability by a select group of educators and publishers. Those materials that are judged of high quality will be disseminated nationally through publishing houses. This is also a planned four-year effort.

Sources of Evaluation Data:

1. Evaluation of School-Based Right-to-Read Sites, Contemporary Research, Inc., Los Angeles, CA., October 1973.

2. Evaluation of Sampled Community-Based Right-to-Read Projects; Pacific Training and Technical Assistance Corporation, Berkeley, Ca., September 1974.

3. Assessment of the State Agency Component of Right-to-Read, Applied Management Sciences, Silver Spring, MD., June 1976.

4. Final Report, Evaluation of the Right-to-Read Special Emphasis Projects, General Research Corporation, McLean, VA., July 1980.

5. Final Report, An Evaluation of the Right-to-Read Inexpensive Book Distribution Program, General Research Corporation, McLean, VA., October 1980.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Names:

National Diffusion Program

Legislation:

Title III of the Elementary and Secondary Act of 1965, as amended by P.L. 95-561, Section 303 and the General Education Provisions Act, Section 422(a).

Expiration Date:

June 30, 1983

Funding History:	Year:	Authorization:	Appropriation:
	1974	1/	9,100,000
	1975	1/	$ 8,400,000
	1976	1/	-0-
	1977	2/	10,000,000
	1978	2/	10,000,000
	1979	3/	14,000,000
	1980	3/	10,000,000
	1981	3/	8,750,000
	1982		12,350,000

Program Goals and Objectives:

The general purpose of Title III - Special Projects is to carry out special projects: (1) to experiment with new educational and administrative methods, techniques, and practices; (2) to meet special or unique education needs or problems; (3) to place special emphasis on national education

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1/ This program is composed of a number of activities which were initiated under various authorities with different appropriations. Thus, the National Diffusion Network was established in 1974 under the authority of ESEA, Title III Section 306 and was funded at $9.1 million. In 1975, the packaging and Field Testing Program under the Cooperative Research Act, P.L. 531, 83rd Congress was funded at $1.4 million while the National Diffusion Network still authorized by ESEA Title III received $8.4 million. In 1976, both activities were under the authority of the Special Projects Act of P.L. 93-380 without a separate authorizaton. No funds were approppriated for the National Diffusion Network in 1976 while the Packaging activity was funded at $1.4 million.

2/ In 1977, both activities were combined into the same program. In 1977 and 1978, the National Diffusion Network was under the authority of the Special Projects Act, P.L. 93-380, and the General Education Provisions Act, Section 442(a), with no separate authorization level.

3/ In 1979, this program was renamed the National Diffusion Program. It is currently under the authority of Title III of P.L. 95-561, Section 303 and the General Educational Provisions Act, Section 442(a) with no separate authorization level.

priorities; and (4) to disseminate information to State and local education agencies. To fulfill this purpose, the Secretary is authorized to make grants and contracts with public and private agencies, organizations, associations, institutions, and with individuals.

This program is also under the authority of the General Education Provisions Act, Section 422(a). One purpose of Section 422(a) of the General Education Provisions Act fulfilled by this program is: to prepare and disseminate to States and school districts information concerning education programs. To carry out this and other purposes of the Act, the Secretary is authorized to make contracts with State and local education agencies and institutions, and to the general public.

A variety of activities are authorized by Title III - Special Projects; some are legislatively mandated programs, and some are discretionary projects which may be established by the Secretary under Section 303. The National Diffusion Program falls into the second category. Its purpose is to improve the quality of education by promoting the widespread dissemination and use of exemplary education practices and projects which have been certified as effective by the Education Department's Joint Dissemination Review Panel (JDRP), a panel that reviews individual claims of effectiveness of educational materials, practices, and projects prior to endorsement for nationwide dissemination.

The major objectives of the program are:

(1) to disseminate exemplary (i.e., JDRP approved) educational practices and projects to interested school districts and to assist education agencies in implementing the exemplary practices through the provision of materials, personnel training, and other supportive services;

(2) to study alternative dissemination procedures and techniques in order to improve the way in which school districts learn about and implement exemplary projects; and

(3) to provide training and assistance in dissemination skills to funded project disseminators to enable them to encourage and assist interested school districts in the selection and implementation of an appropriate exemplary practice or project.

Program Operations:

Three complementary activities are funded by the program to accomplish its major objectives and to contribute to the goal of encouraging the dissemination and implementation of exemplary practices: dissemination activities; technical assistance for funded dissemination agents; and evaluations and studies of the dissemination, project implementation, and the school improvement process.

The dissemination component of the program has two purposes: to make educators aware of exemplary projects, and to provide personal assistance in the selection and implementation of such projects in new communities. These purposes are accomplished primarily through the National Diffusion Network (NDN), a national delivery system designed to assist in the spread of exemplary projects. Through competitive procurement procedures, the NDN funds local developers (called Developer-Demonstrators) to provide materials, training and assistance to school districts that want to adopt their projects. Individuals (called State Facilitators) are also funded as dissemination agents to make school districts in their States aware of alternative exemplary approaches and to help interested districts identify and obtain assistance from project developers in implementing a project to meet specific local needs. The NDN disseminates a large portion of those projects approved by the Joint Dissemination Review Panel.

In addition to funding Developer-Demonstrator (DD) and State Facilitator (SF) projects, the NDN assists DDs and SFs in acquiring skills and developing materials to better enable them to engage in dissemination activities. Through competitive procurement procedures, a contract has been awarded to produce materials (e.g., catalogs of exemplary projects, filmstrips and handbooks) and to provide training and assistance to those individuals managing and conducting dissemination activities.

The third type of activity supported with Program funds includes dissemination-related evaluation and studies. Through competitive procurement procedures contracts are awarded for studies that examine various activities and aspects of the dissemination, project implementation, and school improvement processes to learn from, improve upon, and provide alternatives to current Program strategies.

Program Scope:

Appropriations for the NDN have ranged from $9.1 million in FY 1974 to $14 million in 1979 to $8.75 million in 1981. The FY 81 funds were used for the following activities.

In FY 1981, 85 exemplary Developer Demonstrator projects were funded. Facilitator projects were supported in 50 States, the District of Columbia, the Virgin Islands and Puerto Rico. One technical assistance contract was continued to provide materials, training and support services to NDN participants (i.e., Facilitator and Developer Demonstrator projects). Two studies initiated in FY 1978 were continued: "A Study of How School Districts Use Evaluation for School Improvement" and "A Study of Dissemination Efforts Supporting School Improvement."

FY 81 RESOURCE ALLOCATION

ACTIVITY	AWARDS	OBLIGATION	AVERAGE AWARD
1. National Diffusion Network		$8,750,000	
State Facilitators	55 4/		$ 69,000
Developer-Demonstrators	85 5/		49,310
2. Technical Assistance		171,00	NA
3. Evaluation and Studies		570,000	NA

A total of 85 projects are being disseminated by the NDN. These projects are distributed among the following categories:

Types of Project	Percent of Projects
Reading/Language Arts/Math/Writing	29
Gifted and Talented/Health/Physical Education/Special Interests	12
Special Education	13
Evironmental Education/Science/Social Science	12
Career/Vocational Education	11
Early Childhood/Parent Involvement	8
Preservice/Inservice	6
Bilingual/Migrant	2
Adult Education	2
Alternative Schools/Programs	2
Arts/Communication/Technology	2
Organization/Administration	1
	100

4/ Serving 50 states, the District of Columbia, Puerto Rico, and the Virgin Islands.

5/ Twenty-one Follow Through projects are disseminated via NDN but are not funded by this program. Thus, the total number of projects being disseminated via the NDN is 106.

Program Effectiveness and Progress:

Earlier studies as well as recent evidence indicate that the National Diffusion Program has been successful in causing many school districts to attempt implementation of exemplary education practices and that there is substantial educator interest in the types of services being provided by the Program. The demand for NDN services continues to be great, and over 8,700 local sites are estimated to have initiated implementation of NDN's exemplary projects in 1981. Many of these are reasonably faithful implementations of the original projects, although some adaptation to local conditions have typically been necessary. From year to year an increasing number of Developer Demonstrators have been collecting impact data at adoption sites. There is considerable evidence that such adoptions have resulted in improved student learning in new communities. In addition, most participating teachers report increased student achievement as a major benefit of implementing an NDN project. There appears to be considerable satisfaction with the adopted projects and with the services provided by the NDN. Finally, managers of other ED supported programs report substantial benefit from their association or partnership with the NDN. Each of these issues is discussed in greater detail in the following paragraphs.

Spread of Exemplary Projects:

Based upon figures compiled from funded NDN projects it is estimated that 8,726 schools have adopted and are implementing exemplary projects. More than 87,000 educators have received training to implement NDN projects and approximately two and one-half million students have been served by the projects adopted in new sites.

Fidelity of Project Implementation:

The earlier NDN evaluation (Emrick, 1977) reported that projects being implemented via the NDN were reasonably faithful to developer specifications. Similarly, interim results from a current study (Crandall, 1980) have shown that NDN project adopters are implementing the new practices with considerable fidelity.

User Satisfaction:

Results from studies conducted over the last four years (Emrick, 1977; Stearns, 1977; Campeau, 1978; and Crandall, 1980) indicate that user satisfaction with the services and materials provided by the NDN and with the projects adopted continue to be high. In addition, the most recent study of NDN (Crandall, 1980) indicates that teachers in schools implementing NDN project report some kind of student benefit -- the majority report improved levels of student achievement.

Effectiveness:

For some time NDN participants and program managers have agreed that the educational outcomes of projects implemented through the efforts of this Program is an area that needs to be examined. Accordingly, evaluation activities have received increasing emphasis in the NDN. A formative evaluation system was implemented in 1981 to providing NDN participants with resources and procedures to assess their dissemination and assistance rendering activities. The development of a project implementation evaluation guidebook is planned to aid NDN participants and adopting sites in assessing project implementation activities. In addition to these activities NDN participants are now continuing to collect data from adopters of NDN programs.

Influence on other ED Supported School Improvement Efforts:

Program strategies and activities have continued to evolve and improve over the life of this program due to results of specific evaluations and experiences with other ED-supported programs. At the same time other ED programs have benefitted from their association with the NDN. In particular, recent reports (Shive, 1980 and McDonnell and McLaughlin 1980) have underscored the benefits experienced by the Follow Through and ESEA IV-C programs. In the case of the Follow Through program, the NDN has significantly influenced the Follow Through Resource Centers. Centers have modeled themselves after NDN Developers/Demonstrators, and use the NDN as the principal means of access to adopter districts. Moreover, the greater the Resources Centers involvement with the NDN, the greater their progress in carrying out expanded demonstration activities (Shive, 1980).

Similarly, an effective partnership between ESEA IV-C and the NDN has been noted in a recent study. More specifically, state and local IV-C staff saw the services of the NDN state facilitator as a critical element in IV-C program effectiveness. State facilitators were able to explain local needs or problems, suggest relevant projects, assist in preparing IV-C adoption proposals and provide implementation assistance. This role was found to be one that even the best-intentioned or best staffed SEA can rarely fulfill because of its concomitant monitoring responsibilities, geographic distance, and staff workload (McDonnell and McLaughlin, 1980).

Ongoing and Planned Evaluation Studies:

Study of Dissemination Efforts Supporting School Improvement. (0)

The purpose of this study is to examine the process of school improvement and the dissemination strategies at the Federal, State and local levels in order to determine what effects federal and State dissemination activities play in the process and to determine ways in which dessemination or school improvement activities should be conducted in the future. The study is being conducted by the NETWORK of Andover, Massachusetts. To date, this study (1) produced a report entitled, "A

Policy Study of Resource Centers for the Division of Follow Through Programs", which was used to determine future funding and operational policies regarding Follow Through's Resource Centers' (2) developed and distributed a formative evaluation guidebook for use by NDN funded disseminators and trained all NDN grantees in its use; and (3) produced a report entitled, "Preliminary Description of Selected Dissemination Activities in the Education Division of DHEW", which was used to provide data to aid the work of the Education Department's Transition Team. (Project Completion date: December 1981).

Study of How School Districts Use Evaluation for School Improvement (0)

This study is investigating local evaluation efforts that have successfully used evaluation to improve practices, determine the conditions that foster the use of evaluation, formulate a strategy for bringing about more widespread improvement of local level evaluation practices and recommend what steps or activities ED should consider to address this goal. (Project completion date: September 1982).

Design of a System for Assessing Project Implementation. (P)

The purpose of this effort is to develop an implementation assessment resource guidebook and to design a system or strategies to foster its use. This two-year effort will develop, pilot-test, revise and disseminate an implementation assessment guidebook to local education agencies and project disseminators participating in the National Diffusion Network. The outcome will be to provide local project implementors and project disseminators with a structure and accompanying procedures for obtaining information useful for influencing decisions and corrective actions needed to improve educational practices, and to determine what the Federal role should be in fostering the use of local implementation evaluation. (Expected project initiation date: December, 1983)

Source of Evaluation Data:

Current

Crandall, D.P., Thompson, C.L., and Taylor, J.A., The National Diffusion Network: A Special Report. Andover, MA: The NETWORK, Inc., November, 1980.

Hearings from the Subcommittee on Appropriation, House of Representatives, 97th Congress, First Session, Part 6. Department of Education, pp. 909-954.

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Other

Berman, P., and M.W. McLaughlin, et al., Federal Program Supporting Educational Change. Volume 1-7, Santa Monica, CA: The Rand Corporation, 1975, and 1977.

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Foat, C.M., Selecting Exemplary Compensatory Education Projects for Dissemination via Project Information Packages, Technical Report UR-242, Mountain View, CA: RMC Research Corporation, 1974.

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Piestrup, A.M., Design Considerations for Packaging Effective Approaches in Compensatory Education. Technical Report UR-241, Mountain, View, CA: RMC Research Corporation, 1974.

Stearns, M.S., Evaluation of the Field Test of Project Information Packages: Volume I-Summary Report. Menlo Park, CA: Stanford Research Institute, 1977.

Stearns, M.S., Evaluation of the Field Test of Project Information Packages: Volume I-Viability of Packaging. Menlo Park, CA: Stanford Research Corporation, 1975.

Tallmadge, G.K., The Development of Project Information Packages for Effective Approaches in Compensatory Education. Technical Report UR-254, Mountain View, California: RMC Research Corporation, 1974.

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ANNUAL EVALUATION REPORTS ON EDUCATION PROGRAMS

Program Name:

Cities in Schools Program

Legislation:

Elementary and Secondary Education Act,
1978 Amendments, Title III, Part A,
Section 303.

Expiration Date:

Indefinite

FUNDING HISTORY:	YEAR	AUTHORIZATION	APPROPRIATION
	1978	$2,336,853	$ 2,336,853
	1979	2,185,500	2,185,500
	1980	2,850,000	2,850,000
	1981	2,745,000	2,745,000

Program Goals and Objectives:

The purpose of this program is to make grants to fund projects in urban areas to demonstrate the coordination of the delivery of human services to students and their families as a strategy for removing the barriers to high school graduation. In order to make human services more accessible to the total urban community and thereby improve the quality of life and opportunities for the constitutents, this program utilizes school facilities for the integrated delivery of these human services.

Program Operations:

Through Fiscal Year 1980, the program has made discretionary awards through a multi-contractual arrangement among cities, public agencies, and non-profit organizations. The 1981 awards are in the form of grants, selected through competition. The only exception to this competitive grant process will be the sole source contract for the "Baltimore Blueprint" project. Federal involvement in any project is limited to four years.

Projects receive multiple funding from Federal and local governments and the private sector, and only projects from cities with a population greater than 100,000 are eligible. Any city is eligible for funding, if it:

-- can document private sector investment of at least $75,000.

-- can document that 50 percent of the students to be served are from families with taxable incomes that do not exceed the low income classification of families set costs in the "Curent Population Report," Bureau of the Census.

-- can document local public investment of at least $50,000.

-- can document interagency cooperation among at least three separate organizations, such as a local education agency, a city government, a community-based organization, or a private nonprofit organization.

Program Scope:

The prototype projects in Atlanta, Indianapolis, and New York will be continued at a reduced level as they are being phased out. Houston is receiving a smaller grant in 1981, with offsetting increased local funds being used to continue the project at the 1980 level with Federal support are projects in Washington have been selected in 1981, on a competitive basis. The "Baltimore Blueprint" project, which began in Fiscal Year 1979, excludes funding from four levels of government (Federal, State, County and local) as well as the private sector.

Program Effectiveness and Progress:

A National Evaluation of the Cities in schools Program was conducted by the American Institutes for Research for the National Institute of Education, U.S. Department of Education.

NIE Evaluation Expenditures:	FY 77	$464,000
	FY 78	--
	FY 79	250,000
	FY 80	220,000

Finding reported in the AIR evaluation include:

-- At its best, the student's relationship with the program caseworker was a close confidential, supportive one, often the only such relationship with an adult.

-- Even when the relationships were more superficial, the small caseload and caseworker's location in the school facilitated knowledge of the student that very few teachers could match and an availability to help that centrally located service workers could not match.

-- Cities in Schools demonstrated that the school location and daily presence can facilitate screenings for service needs (e.g., medical examinations, checks on basic welfare needs) that would not have occurred otherwise.

-- Through its programmatic activities, Cities in Schools provided opportunities for social and cultural developmental experiences that would not have occurred otherwise.

In terms of the program's impact, that is the kinds of effects the program hoped to see -- improved attendance, improved academic performance and in the long run, and improved chance to make it as an adult, "Our data (AIR) permit us to say very little. The pattern of improvements that was observed at Tech (Indianapolis) in 1978-79 occurred when the program was also being used most fully, faithfully implemented. To this exist, it is reasonable to expect that results on the outcome measures will follow from better program content.

"Other results are less encouraging. CIS when implemented as planned constituted an unusually intensive "treatment..."

"The data from the Indianapolis experience suggest that evidence of more progress will be forthcoming if the input side of CIS is improved. The data from the individual case histories suggest that the progress will be probably concentrated among the students who already have the most going for them. It is not all clear that CIS is an answer for any appreciable number of the worst-of-the-worst among the nation's problem youth."

The Cities-in-Schools Program disagrees with several of the evaluation's findings.

Ongoing and Planned Evaluation Studies:

Other than the above, none.

Sources of Evaluation Data:

Program records.

The National Evaluation of the Cities in Schools Program. American Institute for Research, Thomas Jefferson Street, N.W., Washington, D.C., 1981.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Push for Excellence Project

Legislation:	Expiration Date:
Elementary and Secondary Education Act, 1978 Amendments, Title III, Part A, Section 303(d)(1)	Indefinite

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1978	$ 445,000	$ 445,000
	1979	1,000,000	1,000,000
	1980	1,000,000	1,000,000
	1981	825,000	825,000

Program Goals and Objectives:

The purpose of this project is to bring about a change in attitude toward school and education (in urban areas) on the part of students. This is done by mobilizing all resouces within a community, in a coordinated effort to improve the school environment, create vocational and academic opportunities for students, motivate achievement, and instill personal responsibility. Program objectives include improving basic skills, improving school attendance, decreasing dropout rates, and reducing vandalism and physical assaults by students on each other and on faculty. In addition, the program encourages active parental support of students' achievement efforts.

Program Operations:

This program awards a sole-source grant to Push for Excellence, Inc. Push works with local education agencies to stimulate excellence in education by coordinating the efforts and resources within a community -- parents, students, educators, clergymen, business, and the media. Projects are intended to serve as demonstration models for replication in other major cities throughout the nation. The program relies upon strong parental and community involvement in carrying out the program's objectives. The national office of Push-Excellence Inc., located in Chicago provides training and technical assistance, disseminates information, and administers the program.

Program Scope:

Push-Excel began late in December 1975 as a national movement to stimulate excellence in the schools, and subsequently received private and Federal funds to develop a generalizable program. Twenty-One high schools in chicago, Los Angeles, and Kansas City tried "total involvement". Over a four-year period that began during the 1975-76 school year, the three sites initiated new activities, devised an approach to staffing, and articulated a set of goals and objectives.

In 1978, the Department of Health, Education and Welfare announced plans for support of three-year demonstration of Push-Excel. September 1979 marked the start of the first full year of Federal funding for the three prototype sites --, Chicago, Kansas City, and Los Angeles. In 1980 expansion sites were establishing Denver, Memphis, Chattanooga, and Buffalo. The national headquarters was set up in Chicago.

Program Effectiveness and Progress:

The National Evaluation of the Push-Excel Project began in February 1979, concurrently with the program's initial contract. The first two technical reports of the national evaluation cited the following early accomplishments.

-- Local communities were energized to tackle the problems facing their schools. The evidence was in the large turnouts for the program's start-up activities and the resources donated by churches, businesses, and individual citizens.

-- Recognition and approval were high among students. Teachers and parents, although they saw no immediate good, saw potenial in the Push-Excel concept.

-- New sites were organized as planned. School and site advisory councils were established and initiated activities based on the schools and their neighborhoods.

-- Program activities, which depend on voluntary participation engaged students and, less frequently, parents teachers, and community members.

The report also cited the following start-up problems, common to most large-scale programs in their early stages:

-- The guidelines provided by the national office were insufficient for local program development and operation. They did not link program activities to the expectations for program impact.

-- Mechanisms for identifying problems and adjustments were lacking. Technical assistance from the national office was virtually nil.

-- Roles were ambiguous and communications channels snarled. Turnover among senior staff, locally and nationally, was a chronic problem.

The concerns hinged on the need for a systematic approach to program development.

Ongoing and Planned Evaluation Studies:

The National Evaluation of Push-Excel is ongoing and is scheduled for completion in October 1982. Three technical reports have been produced to date.

Sources of Evaluation Data:

-- Program records.

-- The National Evaluation of the Push for Excellence Project: Technical Report 3: The Program, the School and the Students. Washington, D.C.: American Institutes for Research, April 1981.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Educational Improvement, Resources, and Support: Part C--Improvement in Local Educational Practice

Legislation:	Expiration Date:
Title IV, Part C of the Elementary Education Act Act of 1965, as amended by P.L. 95-561, as extended by the Education Consolidation and Improvement Act of 1981.	September 30, 1983

Funding History:	Year:	Authorization:	Appropriation: 1/
	1976	$350,000,000	$172,888,000 2/
	1977	Indefinite	184,521,852
	1978	"	194,400,000
	1979	"	197,400,000
	1980	"	197,400,000
	1981	"	66,130,000 3/
	1982		4/

Program Goals and Objectives:

ESEA Title IV, Part C is a State formula grant program to strengthen the quality of elementary and secondary education through support of locally initiated projects and activities. In particular, funds are provided to improve educational practices in the following areas: (1) programs for children with special needs (e.g., educationally deprived, gifted and talented, and handicapped), for children who do not complete secondary school, and for children who do not attend private schools; (2) the teaching

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1/ Program was advanced funded from prior year's appropriation. Funds appropriated in a given year were allocated to the States in July of that year.

2/ From 1976 through 1980, Title IV-C program funds shown here include funds for Title V purposes: strenghtening state and local educational agencies. For each year, $51 million of the total was used for Title V purposes.

3/ This amount has been appropriated (for Title IV-C purposes only) through the 1981 rescissions.

4/ This activity has been incorporated into Chapter 2 of the Education Consolidation and Improvement Act of 1981 and no dollar amount can be specified.

of basic skills; (3) encouraging the participation of parents in the education of their children; (4) the diagnosis of learning problems, and the assessment of children's educational achievement; (5) school management and the coordination of Federal, State, and local resources to meet the individual needs of every child in a school; (6) professional development programs for teachers, administrators, and other instructional personnel; (7) pre-kindergarten and family education programs related to identifying potential barriers to learning, educating parents in child development, home based programs, and referral services; (8) use of community resources, such as museums, businesses, labor organizations, in the educational process; and (9) compensatory education programs.

Program Operations:

From the total amount available for Title IV, Part C, the Secretary of Education allots to each State an amount proportionate to the number of children age 5-17 in the State, as compared with the total number of children in all the States. (The term "State" as used here includes the District of Columbia and the Commonwealth of Puerto Rico.) Up to one percent of the amount available under Title IV, Part C, may be reserved for Guam, American Samoa, the Virgin Islands, Trust Territory, Northern Mariana Islands, for schools operated for Indian children by the Department of the Interior, and for children in the overseas dependents schools. Prior to 1980, up to 15 percent of the IV-C funds received for a fiscal year, or the amount allocated for these activities in Fiscal Year 1973, whichever is greater, could be used for the ESEA, Title V-B, strengthening program. Currently, funds are provided for the V-B program through a specific appropriations set-aside. This year, the V-B program, "Strengthening State Educational Agency Management," is being reported separately in the Annual Evaluation Report.

A State may use up to 5 percent of its Title IVB and IVC funds or $225,000, whichever is greater, to administer its State plan. Remaining funds in Part C support State discretionary grants to local school districts for projects in priority areas determined by the States within the purposes of the law. States are directed to provide technical assistance to local education agencies less able to compete (e.g., small districts) to assure their participation on an equitable basis. Fifteen percent of the available funds must be used for programs or projects directed to education of handicapped children. At least 50% of any increase in a State's Part C allotment (due to population shifts or other causes) above the amount alloted in FY 1979 must be devoted to encouraging innovation and improvement in compensatory educational efforts. In FY 1980, at least 5% of any increase in a State's Part C allotment above the amount alloted in FY 1979 must be devoted to the improvement of school management and the coordinated use in schools of all available resources.

To receive a grant, a State is required to submit, or have on file with the Secretary, a general application, and a State plan that describes the purposes for which the funds will be spent. The general application includes assurances that the State will use proper methods of administering the Title

IV program in such areas as monitoring, technical assistance, coordination, dissemination, and evaluation. The general application remains in effect for the duration of the State Title IV, Part C, program.

The State plan must include: any priorities in Part C program purposes or activities the State Education Agency intends to implement; the application review process and criteria for funds distribution; assurance that it will meet the requirements pertaining to equitable participation of pupils and teachers in private schools; a plan to coordinate Federal and State funds for preservice and inservice education of educational personnel in the State, the activities of the State Advisory Council to carry out its advisory, evaluation, and reporting functions; staffing and administration of the Part C program; and the means by which technical assistance will be provided to LEAs. The State plan must be submitted to the Office of the Governor and the State Advisory Council and be published and circulated throughout the State 60 days prior to being submitted to the U.S. Department of Education (ED) in order that comments on the plan may be obtained. The State plan need be submitted only once every three years.

Prior to submitting a plan, an SEA is required to appoint a State Advisory Council (SAC) broadly representative of the cultural and educational resources of the State. The SAC includes: teachers, principals, and superintendents employed by LEAs and private schools in the State; teachers from institutions of higher education; school librarians and guidance counselors; education specialists; and parents and students. The SAC's responsibilities include (1) advising on the preparation of, and policy matters arising in the administration of, the State plan, including the development of criteria for the distribution of funds and the approval of applications from LEAs; (2) evaluating all programs and projects assisted under Title IV; (3) preparing, at least every three years, and submitting to ED through the SEA, a report of its activities, recommendations, and evaluations together with such additional comments as deemed appropriate.

To receive a subgrant, an LEA must submit a general application, and a project application that describes the purposes for which the funds will be spent. Subject to the availability of funds, an SEA may make a commitment to an LEA to fund a multi-year Part C project, but not for more than five fiscal years, excluding the period during which the LEA received a planning grant.

In applying for funds, LEAs must consider children and teachers in nonpublic schools in their districts on the same basis as children in public schools. LEAs must: (1) consult with appropriate representatives of the children enrolled in the private schools within its boundaries during all phases of the development and design of project; (2) ensure equitable participation by children in private schools who have the same needs and are in the same attendance area, or age or grade group as public school children participating in the project; (3) provide benefits to private school children that are different from those for public school children if the differences are necessary to meet their needs; and (4) spend the same average amount of Title IV funds on a private school child as a public school participant unless the costs of meeting the needs of nonpublic school children are different from the costs of meeting the needs of public school children.

SEAs are required to include in their State plan an assurance that nonpublic school requirements will be met (or that these requirements cannot legally be met), and describe how they will provide technical assistance to private school officials who desire to participate in Federal elementary and secondary education programs. In order to receive a subgrant, an LEA must include in its project application such information as the number of public and private school children enrolled in the district, the number to be served by the project, how they were selected, and where they will be served so that the SEA can determine whether the nonpublic school requirements are being met.

In monitoring the operation of Title IV in the States, Department of Education teams conduct reviews of State administration of the program. These reviews are designed to go beyond compliance checks and determine progress in remedying shortcomings disclosed in prior reviews. The schedule for the ED reviews includes time for the team members to visit and observe LEA projects and to discuss with LEA and project personnel the nature and quality of services rendered by the SEA under Title IV. One of the goals in this process is to improve the ability of SEAs to promote the adoption of successful, validated IV-C projects.

Program Scope:

Of the total 1980 appropriation of $197.4 million, approximately $134 million was budgeted as "pass-through" funds to be distributed by the State agencies to local education agencies on a competitive basis for the 1980-81 program year. The remaineder, $63 million, was used for program administration and activities to strengthen State education agencies. More than half of these funds were used by the States to provide technical assistance services to local education agencies.

In the 1980-81 program year, more than 5,500 local projects were funded by the States through competitive awards to local education agencies. 1/

1/ The figures used in this section are aggregations of data from all but two State agencies. The two non-reporting States, New Jersey and Illinois account for 8.1% of program funds, so a significant portion of program activity is not accounted for in this data. It should also be noted that, since the data were self-reported by the states, comparability and reliability of the data cannot be guaranteed.

Project pariticipants included 8.6 million students: 8.1 million (93%) public and 0.6 million (7%) private school children. Over 365,000 teachers were involved in the program: 340,073 (93%) in public and 25,629 (7%) in private schools.

In 1980-81, the number of public school students who partipated in IV-C projects, as a percentage of total number of enrolled public school students, ranged from a low of 2.1% in the District of Columbia to 73.4% in Wisconsin. The percentage of private school students who participated ranged from a low of 0.3% in Georgia to a high of 68.8% in Utah. The number of private school students as a percentage of all students participating in IV-C projects ranged from a low of 0.1% in Oklahoma and Georgia to a high of 24.2% in Nebraska.

A majority of the IV-C projects (approximately 5,500 in 1980-81) served the general student population, the involvement of specific target populations occurred as follows:

Population	Number of Projects	Amount of Project Funds	Percentage of Total Project Funds
Bilingual Students	64	$2,014,779	1.8
Disadvantaged Students	226	5,498,659	5.0
Preschool Students	98	1,485,960	1.3
Gifted & Talented Students	401	8,818,907	8.0
Handicapped Students	655	15,783,209	14.3
Teachers in Service	457	15,553,563	14.1

Program funds in 1980-81 were distributed among the five types of IV-C project grants as follows:

Type of Grants	Number of Projects	Percentage of Projects	Total Amount of Funds	Percentage of Funds
PLANNING	117	2.2	$ 2.7 million	2.5
DEVELOPMENTAL	1,832	33.8	74.5	69.9
DEMONSTRATION	243	4.5	11.5	10.6
ADOPTION	2,204	40.6	15.6	14.7
MINIGRANT	1,027	18.9	2.4	2.3
TOTAL	5,423	100.0	$106.6 million	100.0

Mean dollar amounts per type of grant ranged from $1,000 in Pennsylvania to $42,250 in Louisiana for planning projects; from $5,757 in Montana to $118,333 in Ohio for developmental projects; from $2,500 in New Mexico to $103,000 in Florida for demonstration projects; from $2,078 in Nebraska to $34,310 in Texas for Adoption projects; and $832 in Washington to $6,008 in Kentucky for minigrant projects.

The follwing table lists the various curriculum areas in which IV-C project funds were spent in 1980-81:

IV-C PROJECTS OPERATING DURING THE 1980-81 PROGRAM YEAR

Curriculum Area	Amount of Total Funds	Percentage of Total Project Funds	Number of Projects	Percentage of Projects
Reading	$15,556,744	14.1	839	15.2
Instructional Modes	14,718,186	13.3	658	12.0
Math	10,809,724	9.8	614	11.2
Language Arts	9,603,655	8.7	483	8.8
Social Studies	6,149,200	5.6	307	5.6
Guidance & Counseling	4,726,561	4.3	226	4.1
Arts/Music	3,378,046	3.1	187	3.4
Dropout Prevention	3,259,690	3.0	125	2.3
Career Education	3,250,021	2.9	204	3.7
Science	2,848,783	2.6	179	3.3
Vocational Education	2,014,239	1.8	92	1.7
Health	1,835,350	1.7	99	1.8
Media	1,748,102	1.6	113	2.1
Physical Education	1,690,001	1.5	144	2.6
Environmental Education	1,328,785	1.2	90	1.6
Parent Education	1,239,469	1.1	48	0.9
Community Education	848,067	0.8	23	0.4
Consumer Education	640,014	0.6	35	0.6
Nutrition	605,177	0.5	55	1.0
Other	24,006,946	21.8	980	17.7
Total	110,256,760	100.0	5,501	100.0

Program Effectiveness and Progress

Title IV is in its sixth year as a consolidated program. A major study to examine the effects of the consolidation was completed by the Rand Corporation in 1980, and the findings were reported in detail in the 1980 Annual Evaluation Report. Briefly, the study found that:

- Title IV is a popular, well-run program that is praised by State and local program staff for its flexibility and ease of administration.

- Title IV did not result in a consolidated management of former categorical programs.

- States and local school districts vary in the substance, management, and quality of their IV-B and IV-C activities.

- Small IV-B and IV-C grants can induce substantial improvement in local practices.

- Title IV participation of eligible non-public school students is uneven, leaving Federal requirements for equitable participation unmet.

- Title IV reached a stage where it is appropriate for Federal officials to concentrate less on compliance and more on substantive program development.

As a result of this evaluation, in October, 1980, several recommendations for implementing the study's findings were developed. Little has happened with respect to these recommendation, however, since they were announced in October 1980 due to changes in Department officials and new legislation which consolidated IV-C into block grants to States.

Little definitive information on program effectiveness is available. This is due partly to the fact that the program is such a flexible one, allowing state and local educational agencies to fund a wide variety of projects. Such variety makes it difficult to establish and measure intended program outcomes on a national level. Another difficulty is the very limited resources available for the evalution of program effectiveness.

The Division of State Educational Assistance, the ED unit that administers the IV-C program, has, however, collected some information from a small number of states on program effectiveness (Chelemer, et al 1981). This examination of program activities indicated that Title IV-C funds have supported the adoption of demonstration projects -- approximately six adoptions per demonstration project. Morever 87% of the projects continued at least in part after federal funds were terminated, indicating that IV-C projects have won local commitment. The report concluded that the ESEA Title IV-C program fulfilled its Congressional mandate. It supported a broad range of activities which sought to meet the needs of special populations as well as the general student population. The program was highly regarded at the State and local levels because its flexibility permitted the support of projects to address evolving educational needs with the cumbersome reauthorization process required for legislative changes.

Ongoing and Planning Studies

None

Source of Evaluation Data:

Current:

Chelemer, Carol and Amanda Clayburn. ESEA Title IV-C: A Program Profile. Report of 1980-81 program data submitted by the states to the Division of State Educational Assistance, U.S. Department of Education, Washington, D.C., 1981.

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Other:

Berman, P. and M.W. McLaughlin, Federal Programs Supporting Educational Change. Santa Monica, California: The Rand Corporation, 1977.

Elmore, Richard F. and M.W. McLaughlin, ESEA Title IV: Implementation Issues and Research Questions. Santa Monica, California: The Rand Corporation, 1978.

ESEA Title IV State Annual Reports.

ESEA Title IV State Program Plans.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name

Strengthening State Educational Agency Management

Legislation

Title V, Part B of the Elementary and Secondary Education Act of 1965, as amended by P.L. 95-561, as extended by the Education Consolidation and Improvement Act of 1981

Expiration Date

September 30, 1983

Funding History	Year	Authorization	Appropriation
	1973	$90,000,000 1/	$53,000,000 2/
	1974	90,000,000	48,000,000
	1975	90,000,000	48,000,000
	1976	50,850,000 3/	(50,850,000) 4/
	1977	50,850,000	(50,850,000)
	1978	50,850,000	(50,850,000)
	1979	50,850,000	(50,850,000)
	1980	50,850,000 5/	(50,850,000)
	1981	50,850,000	42,075,000
	1982		6/

Programs Goals and Objectives

ESEA Title V, Part B is a State formula grant program to strengthen the educational leadership resources of State educational agencies or to assist

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1/ Authorization level contained in Section 501, ESEA Title V, P.L. 91-230.

2/ Appropriation included $40,850,000 for State grants under Section 503, $10,000,000 for State grants for ESEA V, Part C, and $2,150,000 for Section 505 special projects.

3/ Authorization established in Section 403(a)(8)(C) of ESEA Title IV, P.L. 93-380.

4/ Appropriation for ESEA Title IV, Part C with set-aside for strengthening purposes and for succeeding five years authorized for this amount.

5/ Authorization level contained in Section 523(b)(1) of Title V, Part B, August 1979, P.L. 96-46 amending 95-561.

6/ The Title V-B program is included in a block grant under Chapter 2 of the Education Consolidation and Improvement Act of 1981. No individual dollar amount is specified for V-B purposes under the block grant.

identifying and meeting critical educational needs of the State. Funds are provided in order to: (1) develop equitable means of financing education, (2) conduct analysis of educational issues, (3) develop statewide programs to assess the educational progress of students, (4) provide technical and consultative assistance to local educational agencies, (5) conduct workshops, conferences, and other means of communicating with educators and public, and (6) provide for professional development of staff, and the development of curricular materials and programs.

State educational agencies have been provided with wide latitude in applying funds to State priorities. The program goals and objectives are to provide resources for State agencies to actively strengthen the State program. This was illustrated in the debates of the 89th Congress when one of the Congressional sponsors stated:

> "This title is designed to strengthen our decentralized system of education in the United States, and improve State leadership and service for elementary and secondary education programs in each of the States. One of the most effective means of improving educational programs at the elementary and secondary levels in our nation is to improve and strengthen State educational agencies that are responsible for directing State system of education."

Program Operations

Funds are authorized to be appropriated under both Title IV and Title V-B of the Elementary and Secondary Education Act. Section 524 of Title V-B states that from the amount appropriated for any fiscal year each State shall be allotted an amount equal to the allotment of that State for strengthening activities in the fiscal year 1973. Title IV of the Elementary and Secondary Act contains a similar level of funding from the Title IV-C allotment, provided funds are not appropriated under Section 524 of Title V-B.

Each State which desires to participate shall submit to the U.S. Department of Education a State plan to be required no more than once every three years which sets forth the purposes for which funds will be used. For each of the purposes the State must describe the educational need, the objectives to satisfy the need, and the expected benefits and accomplishments.

State educational agencies are the only eligible grantees. A State educational agency is defined as the State board of education or other agency primarily responsible for the supervision of public elementary and secondary schools in the State.

The program is forward funded. Funds appropriated on October 1 of the current fiscal year are made available to States on the following July 1 for obligation during the following fiscal year.

Final regulations for Title V-B became effective in mid-1980 and are contained in Title 34 of the Code of Federal Regulations, Part 119.

Program Scope

During the 1980 program year, the Fifty States and the District of Columbia, Puerto Rico, Virgin Islands, Northern Mariana, American Samoa, Guam and Trust Territory participated in the ESEA Title V, Part B strengthening State Leadership program. Funds were allocated to the Fifty States, District of Columbia, Puerto Rico and the insular areas by a formula established by authorizing legislation. Grants ranged in size from a high of $3,392,680 to California to a low of $12,229 to Northern Mariana Islands. A total of 524 activities across eight identified categories shown below demonstrate the scope of the V-B program.

Categories of Activities
1980 Program Year, ESEA Title V,
Part B

Category	No. of States	Total V-B Expenditures	96 of V-B Appropriation Amount
General Administration	49	$15,724,032	29
Instruction Assistance	42	13,955,293	26
Financial Management	24	2,235,962	4
Management Assistance to LEAs	30	6,103,725	11
Staff Development	30	2,714,139	5
Planning and Evaluation	37	7,375,689	13
Communication and Dissemination	28	4,008,020	7
Accreditation and Certification	26	2,576,228	5
Totals		$54,693,088 1/	100

1/ Includes an estimated FY 1979 carryover of $3,843,088.

These V-B funds enable SEAs to develop and implement policies and programs having statewide impact stemming from actions of State legislatures, the Congress, and the courts as described below.

State legislatures have been active in addressing basic school finance formulas and in demanding increased accountability from the schools through mandating statewide testing, competency based graduation requirements, and other prescriptive regulations. The decisions resulting from court suits have impacted State educational agencies in areas of desegregation, handicapped and bilingual rights, and other actions related to equal access or other basic rights. Congressional actions affecting State agencies have primarily included surveys and technical assistance mandates.

Increased involvement from the legislative and judicial branches of government have placed increasing burdens on State educational officials, especially in the areas of information resource management. For example, demands for more vocational educational data, surveys of handicapped individuals, civil rights surveys, safe schools surveys, architectural barriers surveys, abestos detection surveys, statewide testing and analysis, and identification and dissemination of sucessful practices are often cited as responsibilities requiring greater information processing capabilities. Hence, automated data processing systems and equipment are continually in need of upgrading or redesigning.

Program Effectiveness and Progress

The V-B program is intended to address both long-range and short-range strengthening needs of SEAs. Although SEAs have similar overall missions, the scope and range of functions being performed vary greatly from State to State. Some States place heavy emphasis on using the funds as developmental capital for innovative programs while others use the funds in personnel salaries.

During the past twelve months, program reviews have been completed in fifteen States. These reviews revealed that strengthening funds from the Federal program supplement those from State sources for essential activities. The following list illustrates the type and nature of activities supported with V-B funds for strengthening purposes:

1. To develop major statements on educational issues for the Chief State School Officer;

2. To organize and collect information for modifying teacher certification standards;

3. To refine and improve the State basic educational data system;

4. To formulate policy and position statements related to Federal legislation as they affect the State;

5. To conduct physical fitness and heart disease appraisals of State agency staff;

6. To coordinate statewide needs assessment and establish goals for adult education services;

7. To develop action plans for assistance to urban school systems;

8. To conduct compliance visitation programs in school districts to ensure minimum standards being met;

9. To review collegiate programs of preservice education in accordance with competency based teacher education guidelines;

10. To develop programs and provide consultative assistance to local districts in music and the performing arts;

11. To develop statewide tests for basic competency in reading;

12. To provide technical assistance to secondary schools in establishing remediation programs in basic skills;

13. To conduct a statewide evaluation of foreign language programs offered in public and nonpublic schools;

14. To develop handbooks for use in schools to achieve understanding of metric system for students and parents; and,

15. To prepare guidelines for school districts to improve parental involvement in education.

The purposes served by Title V-B transcend all programs Federal and State, assisting State agencies in absorbing the burdens of Federal program administration and coordination activities throughout the agency.

Ongoing and Planned Studies

None

Source of Data

ESEA Title V, Part B State Annual Reports

ESEA Title V, Part B State Program Plans

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name

Emergency School Aid Act (ESAA Basic Grants Program)

Legislation

Title VI of the Elementary and Secondary Education Act as amended by the Education Amendments of 1978 (P.L. 95-561), as extended by the Education Consolidation Improvement Act of 1981.

Expiration Date: September 30, 1983

Funding History	Year	ESAA Authorization:	Tootal ESAA Appropriation:	Basic Grant Appropriation:
	1973	$1,000,000,000	$228,000,000	$134,500,000
	1974	Total of	236,000,000	146,900,000
	1975	$1,000,000,000	215,000,000	133,500,000
	1976	for FY 74-76	245,000,000	137,600,000
Transition Quarter			3,000,000	
	1977	Total of	257,500,000	137,600,000
	1978	$1,000,000,000	300,500,000	137,600,000
	1979	for FY 77-79	300,000,000	137,600,000
	1980	422,250,000	248,571,000	107,800,000
	1981	422,250,000	149,209,000	33,400,000
	1982			[1]

Program Goals and Objectives:

In June of 1972 the Emergency School Aid Act (ESAA) was enacted into law to provide financial assistance: "(1) to meet the special needs incident to the elimination of minority group segregation and discrimination among students and faculty in elementary and secondary schools; and (2) to encourage the voluntary elimination, reduction or prevention of minority group isolation in elementary and secondary schools with substantial proportions of minority group students." [2]

The Basic Grants Program is the largest of the ESAA subprograms. Basic Grants are available to LEAs for the purpose of meeting needs that arise from implementing a qualifying desegregation plan. An LEA may use its funds for any activity that is designed to meet an educational need that arises from a qualifying plan. A qualifying plan must meet the requirements of section 606 of ESAA. Examples of activities specifically authorized by ESAA include staff hiring and training, the development of instructional materials and procedures, innovative educational activities, community relations activities, etc.

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[1] The Title VI program is included in a block grant under Chapter 2 of the Education Consolidation and Improvement Act of 1981. No individual dollar amount is specified for Title VI purposes under the block grant.

[2] A third purpose, "to aid school children in overcoming the educational disadvantages of minority group isolation," was deleted from the Act in the Education Amendments of 1978 (P.L. 95-561).

Program Operations:

The Basic Grants Program is a program whose funds are apportioned to apportioned to States according to a formula that considers the numbers of minority school-aged children in the State. Unused funds from any State's apportionment may be reapportioned by the Secretary either for other States or for special programs and projects under section 608(a) of ESAA.

The Office for Civil Rights determines whether each LEA has a qualifying desegregation plan and meets other civil rights compliance standards specified in the Act. Basic Grants may be awarded to any LEA which: (a) is implementing a required plan or (b) has adopted and is implementing, or will adopt and implement, if assistance is made available a non-required plan to reduce, eliminate or prevent minority group isolation.

Applications are made directly to the Department of Education. Within each State, LEAs are first assigned to one of three categories, depending on the recency of the desegregation plan. Within each category, applicants are ranked according to the amount of reduction in minority group isolation after the implementation of the plan.

A panel of non-federal readers reviews each application to determine which are recomended for funding. This review considers whether the proposal contains activities that address educational needs arising from the plan; the quality of the proposed project; and whether the plan involves, to the extent possible, the total educational resources of the community. As a result of the review process, each application is either recommended or not recommended for funding. Within a State, recommended applications are then funded in order until the State apportionment is exhausted.

This process is conducted in two cycles which allows unsuccessful applicants to revise and resubmit their applications after the intial review. LEAs may apply for multi-year funding of Basic Grants. The criteria for receiving awards extending beyond one year are the severity and duration of need, the nature of the proposed activities.

Funded projects are monitored by ESAA program officers. Some additional technical assistance is available from ESAA-funded Non-Profit Organizations and from desegregation centers funded under Title IV of the Civil Rights Act. Local project reporting consists of financial reports, final reports and a final evaluation report.

Program Scope:

For FY 80, 329 ESAA Basic awards, totaling $160,702,143 were made. Not all applicants received funding however. Over the past four years the percent of applicants receiving funding has declined from a high of 86% in FY 77 to 65% in FY 80. ESAA funds do not reach all districts which have desegregation plans resulting in a high degree of reduction in minority isolation. For example, sixty percent of the districts which had a relatively high reduction in minority isolation prior to 1974 never received an ESAA grant. Most of these districts did not apply for ESAA funds.

Program Effectiveness and Progress:

Targeting. A study (Smith, 1978) of ESAA grantees showed that ESAA districts tended to be larger than the national average, and to have lower State and local per-pupil expenditures. More than half of the districts were located in the South, although southern districts received comparatively smaller grants than the districts in other areas. Within districts, ESAA funds were targeted primarily on elementary schools; 75% of all schools receiving ESAA-funded services were elementary. ESAA schools tended to be larger than the national average, and to have a higher than average minority concentration.

ESAA funds are intended to assist districts in responding to their desegregation-related needs. Several studies (Smith, 1978; Wellisch, 1979) have reported that funds are not appropriately targeted and that most ESAA funds go to districts that desegregated long ago. For example, of those districts receiving ESAA Basic Grants in FY 78, 83% began desegregating prior to 1973. Recognizing this difficulty, Congress amended ESAA in 1978 to incorporate recency of desegregation as one of the criteria for funding. Beginning in FY 80, Basic Grant awards were governed by the new criteria.

Another difficulty in the appropriate targeting of funds is that the State apportionment formula is based on the number of minority students in a State, which is not necessarily related to the State's desegregation needs. The formula is unable to provide adequate funds for newly desegregating large urban school districts. This problem is alleviated somewhat by the ability of the Secretary to reapportion unused funds from one State to another, and by the addition, in recent years, of Special Project grants, which are not subject to the State apportionment formula.

Several studies have found that ESAA funds are often used for general education assistance and compensatory education rather than desegregation assistance (Coulson, 1977; Smith, 1978). In FY 80, for example over 85 percent of the ESAA Basic elementary schools sponsored compensatory education services with their ESAA funds. Although the academic needs of ESAA schools are not disputed, the studies questioned whether a program for emergency school desegregation aid should be a compensatory education program. In the 1978 education amendments, Congress enacted certain changes in the ESAA legislation designed to encourage a closer relationship between ESAA-supported activities and the desegregation needs of participating school districts. The changes include deletion of one of the original purposes of the law ("to aid school children in overcoming the educational disadvantages of minority group isolation") and a revision of the list of authorized activities to decrease the emphasis on compensatory education. A future study will examine the impact of these legislative changes on the type of activities funded by ESAA.

Although most ESAA Basic Funds are spent on general or compensatory educational activities, about two thirds of ESAA Basic districts funded some human relations activities in at least one of their schools during FY 78, reflecting an increase in the funding of such activities over the last two years. Two types of human relations activities were funded. One type focused on improving intergroup relations and included activities designed to ease racial tensions, improve intergroup interactions, and promote intercultural awareness and understanding. The second type focused on problems associated with minority isolation and included activities designed to improve self-concept of students and to prevent or treat specific problems of individual students. In those districts that did provide human relations services, more than a third of their ESAA grant, on the average, was used for this purpose.

Effectiveness. A 1973-76 longitudinal evaluation of ESAA found evidence of program impact in improving academic achievement in the final year of the study for Basic elementary schools, although no such evidence was found at the high school level. An earlier evaluation of the Emergency School Aid Program (precurser to ESAA) also reported higher achievement scores for black male students in ESAP schools in comparison to similar students in schools with no ESAP funds.

Several studies (Crain, 1973; Forehand, 1976) have reported a relationship between effective ESAA programs and the presence of human relations activities in the school. A recent study (Doherty, 1980) reported that students who received ESAA-funded human relations services showed greater improvement in measures of intergroup attitudes, intergroup behavior and self-concept. These included community support for desegregation, principal and staff commitment to human relations services, the presence of human relations training programs for staff, and the existence of a parent program.

School Discipline. The Emergency School Aid Act school districts were encouraged to include a component to address disproportionate disciplinary actions against minority students in their Basic Grant application for fiscal year 1979. Disciplinary action was defined by ESAA as any action which removes a student from the regular classroom for disciplinary reasons. Of one hundred and four school districts requesting funds for such activities, seventy eight districts received awards.

A recent descriptive study (Cooney, 1981) which gathered information from fifteen school districts (target and non-target schools) with ESAA projects to reduce disproportionate disciplinary actions against minority students reported that:

- Three ESAA projects visited showed a reduction in disproportion for suspension, expulsion, and corporal punishment in target schools
- The most successful ESAA projects operated under a central administrative structure, stated project objectives clearly and precisely, and used a planning process that included a needs assessment and participation among administrative staff, regular instructional staff and parents.

- All of the ESAA projects provided direct services such as individual counseling and tutoring to students and offered support services such as individual counseling and tutoring to students and offered such services such as consultation and a home-school liaison to teachers and parents

Maintenance of Effort:

ESAA regulations have maintenance of effort assurance requirements. Applicant school districts must assure: (1) that they have not reduced their fiscal effort for public education to less than that of a specified prior fiscal year, and (2) that current expenditures per pupil from local sources are not less than that of a specified prior year. In fiscal year 1980 there were no waivers of the ESAA maintenance of effort requirement. Monitoring of maintenance of effort requirements is included as part of the regular monitoring visits by ED staff.

Ongoing (O) and Planned (P) Evaluation Studies:

"The Human Relations Study," under contract with System Development Corporation. Due 1981 (O)

This study will describe the types of human relations program funded by ESAA and examine the types of human relations activities that are most effective in improving intergroup relations within school.

"A Study of Parental Involvement in Four Federal Education Programs," under contract with System Development Corporation. Due 1981. (O)

This study will examine the types of parental involvement in four programs (Title I, ESAA, Bilingual Education, and Follow Through). Later phases of the study will seek to identify effective parental involvement projects.

"Study of ESAA-Funded Activities and Establishment of a Management Information System," under contract with Applied Urbanbetics, Inc. Due 1982. (O)

This study will analyze ESAA-funded activities to determine whether changes in the ESAA legislation resulting from the Education Amendments of 1978 have led to corresponding changes in the types of activities funded by ESAA. The study will also establish a management information system for the ESAA program.

"Survey of Magnet Schools." Due 1982. (O)

This study will assess the function of magnet schools in dealing with urban educational problems of magnet schools, the resulting changes in community attitudes, the impact on desegregation, and increments in the quality of education.

Sources of Evaluation Data:

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6. Crain, R., *et al.* *Southern Schools: An Evaluation of the Effects of the Emergency School Assistance Program and of School Desegregation,* (2 volumes). Chicago: National Opinion Research Center, 1973.
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11. Gordon, K. *Evaluation of the Emergency School Assistance Program* (5 volumes). Bethesda, Maryland: RMC Incorporated, 1972.
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13. *Need to Improve Policies and Procedures for Approving Grants under the Emergency School Assistance Program.* Washington, D.C.: General Accounting Office, 1971.
14. Seefeldt, E. *ESAP Community Group: An Evaluation.* Washington, D.C.: Kirschner Associates, 1972.
15. Smith, S. *An Assessment of Emergency School Aid Act (ESAA) Program Operations* (3 volumes). Washington, D.C.: Applied Urbanetics, 1978.

16. Stout, R. Facilitating Desegregation: A Handbook for Community Organizations. Tempe, Arizona: Arizona State University, 1978.

17. Wellisch, Jean B., et al. Characteristic and Contexts of ESAA Basic Human Relations Program. Santa Monica, California: System Development Corporation, 1979.

18. Weaknesses in School Districts: Implementation of the Emergency School Assistance Program. Washington, D.C.: General Accounting Office, 1971.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Emergency School Aid Act (ESAA) Nationally Competed Funds

Legislation:

Title VI of the Elementary and Secondary Education Act as amended by the Education Amendments of 1978 (P.L. 95-561), as extended by the Education Consolidation Improvement Act of 1981

Expiration Date:

September 30 1983

Funding History:	Year:	Total ESAA Authorization:	Appropriation:	Nationally Competed Appropriation:
	1973	$1,000,000,000	$228,000,000	$93,500,000
	1974	Total of	236,000,000	89,100,000
	1975	1,000,000,000	215,000,000	81,500,000
	1976	for FY 74-76	245,000,000	107,400,000
	Transition Quarter		3,000,000	--
	1977	Total of	257,500,000	119,900,000
	1978	1,000,000,000	300,500,000	162,900,000
	1979	for FY 77-79	300,000,000	162,400,000
	1980	422,250,000	248,571,000	139,771,000
	1981	422,250,000	149,209,000	115,309,000
	1982			1/

Program Goals and Objectives:

The Emergency School Aid Act (ESAA) was enacted to provide financial assistance: "(1) to meet the special needs incident to the elimination of minority group segregation and discrimination among students and faculty in elementary and secondary schools; and (2) to encourage the voluntary elimination, reduction or prevention of minority group isolation in elementary and secondary schools with substantial proportions of minority group students." 2/

ESAA has six active subprograms. The one State apportionment program -- Basic Grants -- is discussed separately elsewhere. The other five are nationally competitive subprograms: Special Projects, Magnet Schools, Nonprofit Organizations, Educational Television, and Evaluation. Two other ESAA subprograms -- Pilot Projects and Bilingual Projects -- were funded for the final year in Fiscal Year 1979. 3/

1/ The Title VI program is included in a block grant under Chapter 2 of the Education Consolidation and Improvement Act of 1981. No individual dollar amount is specified for Title VI purposes under the block grant.

2/ A third purpose, "to aid school children in overcoming the educational disadvantages of minority group isolation" was deleted from the Act in 1978 (P.L. 95-561).

3/ Effective in FY 1980 awards for the 1980-81 school year, the Pilot Projects authorization was repealed and the Bilingual Projects transferred to Title VII of the Elementary and Secondary Education Act. Another change involves the expansion of Educational Television awards to include radio as well.

Special Project awards include a number of separate subprograms, including the Emergency Special Project out of cycle awards. The latter are intended for LEAs which adopted voluntary desegregation plans or received court ordered plans too late in the school year to apply for an ESAA award during the regular funding cycle. Smaller Special Project awards are for the territories, interdistrict transfer, arts projects, State Education Agency awards, preimplementation, and other awards.

A Magnet School is a school or education center that offers a special curriculum capable of attracting substantial numbers of students of different racial backgrounds.

Nonprofit Organization grants or contracts to nonprofit groups are authorized to support the implementation of eligible desegregation plans.

Educational Television contracts are awarded to pay the cost of development and production of integrated children's television programs of cogntive or affective educational value.

Evaluation contracts assess the programs aided under ESAA.

Program Operations:

ESAA is a large discretionary program. Sums are appropriated annually for the nationally competitive award subprograms within limits as specified in the Act.

Applications are made directly to the Department of Education in Washington. The Office for Civil Rights determines whether each district has an eligible desegregation plan and meets other civil rights compliance standards specified in the Act. Applications for the nationally competitive award subprograms (with the exception of the Nonprofit Organization and the Educational TV and Radio subprograms) are processed and scored much as described elsewhere for ESAA Basic Grants. The main difference is that applications are ranked for funding nationally rather than within each State as is the case for Basic awards.

Program Scope:

The table below shows the distribution of ESAA resources for FY 1980 awards:

Program	No. of Applicants (1)	No. of Awards (2)	Percent of Applicants Funded (3)	Amount Obligated (thousands) (4)	Percent of Obligations (5)
Basic (a)	503	329	65	$160,702	67
Special	82	75	91	37,075	16
Magnet schools(b)	112	80	71	31,896	13
Nonprofit	249	39	16	5,000	2
ETV and Radio	86	14	16	4,494	2
Evaluation	N/A	3	N/A	566	0
Total	1,032	540	52%	$239,733	100%

(a) ESAA Basic awards are discussed elsewhere in this report.
(b) Also includes University Business Cooperation and Neutral Site Plan awards.

The table of FY 80 awards shows that five of every 10 applicants (540 out of 1,032) were funded. The percentage of applicants funded was highest for Special Projects (91%) and Magnet schools (71%) programs (column 3). Competition for awards was greatest in the ETV and Radio program, where only 16 percent of applicants were funded.

Program Effectiveness and Progress:

Magnet Schools. An evaluation report prepared for the Department of Education found that:

- Magnet schools can be effective when used as a component of a comprehensive, district-wide desegregation effort and when used in districts with an easier desegregation task.
- Most magnet schools are able to achieve their racial composition and enrollment goals. Among the factors that increase the likelihood of success are:
  - attendance zones that draw at least in part from selected neighborhoods rather than the entire community.
  - location of a magnet school in a racially mixed area rather than a majority or minority neighborhood.
- The ESAA magnet school program funded many school districts with marginal needs for desegregation aid.

Educational Television. ESAA Educational Television and Radio awards support contracts to public and private nonprofit organizations for the development and production of television and radio programming that teaches academic skills and encourages interracial and intercultural understanding. Competitions for television and radio contracts are conducted separately, with applicants responding to the Department priorities, as well as initiating their own programming approaches. More than $1 million in 1980 will support ancillary service contracts to provide for commercial carriage and viewership promotion of television series and for videotape duplication, storage, and distribution. In the past, low carriage by commercial stations and poor viewership have hampered the program. The program and distribution strategy is designed to ensure that the investment in development and production will not be lost because the series fail to reach their intended audiences.

An ED sponsored survey of television series viewership completed in 1978 found:

- A substantial proportion of the principal intended target audience (Black and Hispanic children) are in communities in which the older, established ESAA television series are broadcast. The newest ESAA series were just becoming available at the time of data collection (May 1977) and at that time reached only a small proportion of the audience.

- Viewership data for individual programs showed that a regional program, "La Esquina," has an 8.5 percent viewership. Another regional series, "La Bonneaventure," had 3.6 percent viewership. All other ESAA-TV series were below 3 percent viewership, including national programs such as "Villa Alegre" (2.6 percent) and "Carrascolendas" (1.5 percent). (Viewership is defined as the number of children who had watched a program once or more within the week preceding the survey divided by the number of children located in communities in which the program is broadcast.)

- Viewership rates for the target race and age audiences were generally higher than the averages shown above. The time of day and day of week that a program is broadcast also significantly affects viewership.

A recent study assessing the ESAA-TV program by examining the production, distribution and financing found that:

- The most serious challenges for this program are obtaining increased viewership and increased utilization in schools.

- ESAA-TV has filled a gap by funding the production of television series which meet the needs of minority audiences while providing a valuable alternative for majority viewers.

Nonprofit Organizations. In an evaluation report to the Office of Education, the Rand Corporation found that NPO projects are not operating as effectively as other community organizations not funded by ESAA. Activities such as developing community support for a desegregation plan or improving school-community relations can often be accomplished more effectively by a community organization than by a school district.

There are a number of factors which work against the more effective community organizations receiving ESAA funding:

- The extremely close connection between "host" school districts and NPOs has led NPOs to undertake projects agreeable to the districts and often not directly related to desegregation. The projects tend to offer education services ordinarily performed by the districts, and less often to undertake community relations and desegregation monitoring activities.

- Because NPO activities are generally not targeted to the particular phase of desegregation their districts are in, many NPO activities are inappropriate to the current desegregation situation in their districts. For example, NPOs often undertake remedial and tutorial activities when the district is in the initial stages of desegregation.

- o The NPO proposal review system presently used does not succeed in identifying effective NPOs.

Regulations revisions in 1980 appear to address some of the issues raised in the Rand research. However, the strong steps that Rand recommended in order to make ESAA NPOs more effective than other groups not funded by ESAA were not adopted.

Rand's recommendation to "target NPO funds to districts actively involved in the desegregation process" was originally included in revised regulations with a modest weight (10 percent of the total score), but that weight is now down to a maximum of 3 percent.

Maintenance of Effort:

ESAA regulations have maintenance of effort assurance requirements. Applicant school districts must assure the federal government that: (1) they have not reduced their fiscal effort for public education to less than that of an earlier fiscal year, and (2) that current expenditures per pupil from local sources are not less than that of an earlier year. In fiscal year 1980 there were no waivers of the ESAA maintenance of effort requirement.

Ongoing (O) and Planned (P) Evaluation Studies:

"ESAA Exploratory Evaluation" conducted by Duke University. Due 1980. (O)

This study will examine and synthesize the differing views of the goals and objectives of ESAA and make appropriate management recommendations.

" The Human Relations Study" under contract with System Development Corporation. Due 1981. (O)

This study will describe the types of human relations programs funded by ESAA and examine the types of human relation activities that are most effective in improving intergroup relations within schools.

"A Study of Parental Involvement in Four Federal Education Programs," under contract with System Development Corporation. Due 1981. (O)

This study will examine the topics of parental involvement in four programs (Title I, ESAA, Bilingual Education, and Follow Through). Later phases of the study will examine profiles of efective parent involvement.

"Study of ESAA-Funded Activities and Establishment of a Management Information System." Due 1982. (0)

This study will analyze ESAA-funded activities to determine whether changes in the ESAA legislation resulting from the Education Amendments of 1978 have led to corresponding changes in the types of activities funded by ESAA.

"Survey of Magnet Schools." Due 1982. (0)

This study will assess the function of magnet schools in dealing with urban educational problems of magnet schools, the resulting changes in community attitudes, the impact on desegregation, and increments in the quality of education.

Sources of Evaluation Data:

1. Crocker, S., et al. An Evaluation of the ESAA Nonprofit Organization Program, (4 volumes). Santa Monica, California: Rand Corporation, 1978.
2. Hebbeler, K., & Cosgrove, M. A Survey of Home Viewership of Television Series Sponsored by ESAA Legislation. Silver Spring, Maryland: Applied Management Sciences, 1978.
3. Nelson, B. Assessment of the ESAA-TV Program: An Examination of Its Production, Distribution and Financing. Cambridge, Massachusetts: Abt Associates, 1980.
4. Royster, E., Baltzell, D.C., & Simmons, F.C. Study of the Emergency School Aid Act Magnet School Program. Cambridge, Massachusetts: Abt Associates, 1979.
5. Seefeldt, E. ESAP Community Group: An Evaluation. Washington, D.C.: Kirschner Associates, 1972.
6. Stout, R. Faciliating Desegregation: A Handbook for Community Organizations. Tempe, Arizona: Arizona State University, 1978.

For further information about program operations,

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For further information about studies of program effectiveness,

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Program Name:

General Assistance for the Virgin Islands

Legislation:	**Expiration Date:**
P.L. 95-561, Sec. 1524	September 30, 1983

FUNDING HISTORY:	YEAR	AUTHORIZATION	APPROPRIATION
	1979	$5,000,000	$ -0-
	1980	$5,000,000	$3,000,000
	1981	$5,000,000	$2,700,000
	1982	$5,000,000	1/

Program Goals and Objectives:

The Act states that the program's purpose is to provide general assistance to improve public education in the Virgin Islands. By agreement between the U.S. Department of Education and the Department Education of the Virgin Islands funds may only be used for the improvement of elementary and secondary education.

Program Operations:

Since this is a direct entitlement program, it is administered by a signed agreement between the U.S. Department of Education and the Department of Education of the Virgin Islands.

Program Scope:

Plans under the 1981 continuing resolution were:

Curriculum Centers	$1,000,000
Special Education	$ 928,000
Remedial Education	$ 540,000
Classroom Renovations	$ 200,000
Educational Research	$ 200,000
Library Service & Instructional Material	132,000

1/ No funds were requested by either the Carter or the Reagan Administration.

Program Effectiveness and Progress:

No evaluation of this program has been conducted.

Ongoing and Planned Evaluation Studies:

An exploratory Evaluation will be conducted in FY 1982.

Sources of Evaluation Data:

Analysis of grantee progress reports.

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For further information about program effectiveness,

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Training and Advisory Services (Civil Rights Act of 1964, Title IV)

Legislation:	Expiration Date:
Title IV of the Civil Rights Act of 1964 (P.L. 88-352), as amended by the Education Amendments of 1972 (P.L. 92-318).	Indefinite

Funding History:	Year:	Authorization:	Appropriation:
	1968	indefinite	$ 8,500,000
	1969		9,250,000
	1970		17,000,000
	1971		16,000,000
	1972		14,000,000
	1973		21,700,000
	1974		21,700,000
	1975		26,700,000
	1976		26,375,000
	Transition Quarter		325,000
	1977		34,700,000
	1978		34,700,000
	1979		41,350,000
	1980		45,675,000
	1981		37,111,000

Program Goals and Objectives:

Title IV is designed to provide training and technical assistance to school personnel related to problems incident to school desegregation with respect to race, color, religion, sex, and national origin. Technical assistance is authorized "in the preparation, adoption, and implementation of plans for the desegregation of public schools." Technical assistance includes, among other activities, making information available regarding "effective methods of coping with special educational problems occasioned by desegregation." The law also provides for training of school personnel "to deal effectively with special educational problems occasioned by desegregation," and for grants to school boards for inservice training of school personnel and the employment of specialists in connection with desegregation.

There are eleven subprograms under the Title IV program. Desegregation Assistance Centers (DACs) provide technical assistance and training services to local school districts within designated service areas. Separate DAC awards are made in the areas of race, sex, and national origin. State Educational Agencies (SEAs) are an alternative source of desegregation services. There are separate awards to SEAs in the areas of race, sex, and national origin.

There are two types of Training Institutes (TIs), one for sex desegregation and one for race desegregation. TIs conduct only training and do not provide technical assistance services. Finally, there are three types of direct awards to Local Education Agencies (LEAs) to hire desegregation advisory specialists and conduct related training. These LEA awards are made for race, sex, and national origin desegregation purposes. In summary there are eleven Title IV subprograms: three DAC, three SEA, two TI and three direct LEA awards.

Program Operation:

Title IV is a large discretionary grant program. Most DAC awards are received by institutions of higher education although any public agency (except an SEA or LEA) or private, nonprofit organization is eligible. Only institutions of higher education are eligible for TI awards. Only SEAs and school boards are eligible for SEA and direct LEA awards, respectively.

Applicants send proposals to the U.S. Department of Educaton (ED). Proposals are due at a time announced in the Federal Register except for the discretionary awards to LEAs for race and national origin desegregation, for which applications may be received and awards made at any time. After review by ED staff, panelists assign each application a total numerical score (consisting of points for specific criteria that are added to produce a total score). Within each category, awards are made from the highest score down to a minimum acceptable score of 60 percent until funds are exhausted (except for DACs, where the applicant for each geographic service area with the highest score is selected).

Program Scope:

The following table presents data on Fiscal Year 1980 Title IV awards.

Category	Total Applications (1)	Total Awards (2)	Percent of Applicants Funded (3)	Amount Awarded (thousands) (4)	Percent of Total Funds (5)	Average Award (thousands) (6)
Race						
DAC	15	15	100	$9,290	20	$619
SEA	32	32	100	5,175	11	162
TI	31	10	32	1,843	4	184
LEA	81	48	59	4,226	9	88
Sex						
DAC	10	10	100	4,392	10	439
SEA	40	30	7	3,943	9	131
TI	56	12	21	2,164	5	180
LEA	82	48	59	2,877	6	60
National Origin						
DAC	10	9	90	4,333	9	481
SEA	28	24	86	3,013	7	126
LEA	80	61	76	4,412	10	72
Total	465	299	64	45,668	100	153

The awards of Title IV funds in FY 1980 were as follows: race, 44%; sex, 30%; and national origin, 26%. Among the types of service delivery systems, the most money was targeted to DAC awards (39%), followed by SEA (27%), LEA (25%), and TI (9%) awards. [1]

The highest average awards (column 6) are for the multipurpose, regional DACs; the smallest are for the LEA awards.

Program Effectiveness and Progress:

Title IV regulations were substantially revised in 1978 to incorporate many recommendations from a 1976 evaluation of the race desegregation programs by the Rand Corporation, Title IV of the Civil Rights Act of 1964: A Review of Program Operations. That evaluation found that Title IV needed more Federal direction to focus on needs directly related to desegregation. Recommendations from three other studies were also considered in revising the regulations.

Some of the major changes to increase the desegregation identity of Title IV were:

- SEAs providing race desegregation assistance must give priority to school districts in the first three years of implementing desegregation plans.
- Race DACs (formerly called "general assistance centers"), must give priority to helping school districts develop desegregation plans and to assisting districts in the first three years of implementing these plans.
- Race desegregation training institutes are permitted to provide training only to school districts which adopted desegregation plans within the two years preceding the beginning of the training.
- Activities related to the provision of compensatory education or the development of basic skills may not be funded under Title IV.

Another major feature of the 1978 regulations--not related to the Title IV evaluation study--is that Title IV aid may only be provided to to school districts remedying conditions of racial separation that are the the result of State or local law or official action. The statute prohibits Title IV assistance for effort to overcome racial imbalance.

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[1] These percentages are obtained from column 5 by adding the percentages within the appropriate categories.

The Rand study was primarily based upon an analysis of mail questionnaires from 140 Title IV projects and site visits conducted at 40 projects and 74 school districts served by these Title IV race desegregation projects.

Rand found that DACs often undertake race desegregation activities such as developing new instructional techniques, training in the use of new methods and materials, developing curricula, helping districts assess needs and developing techniques for school-community interaction. More than any of the other types of Title IV projects, DACs have to function as organizations capable of delivering a wide range of training and technical assistance services to a large number of school districts. Given these complexities, it is not surprising that the statistical analysis found that several organizational characteristics were strongly related to the effectiveness 2/ of DACs but not the other types of Title IV projects. Favorable DAC organizational characteristics included having a well-specified plan of project organization containing explicit schedules and milestones and a clear description of staff responsibilities.

The more effective DACs visited had a clear conception of the race desegregation assistance process and were selective in choosing districts where they could anticipate a favorable impact in contrast with other DACs which attempted to provide substantial services to all districts requesting assistance. Also, the evaluation found that the more effective DACs were more active in conducting needs assessments. These DACs tended to work more closely with their client districts and to conduct the needs assessment activity as part of a plan for uncovering desegregation-related needs.

The 1978 regulations assist DACs in targeting rather than diffusing services, as discussed earlier in this section. The new regulations do not substantively increase the weight give to DAC organizational characteristics in rating applications from DACs.

SEA Title IV race desegregation units develop and disseminate materials, interpret Federal desegregation guidelines, and obtain statistical information to assist in identifying desegregation problems. SEAs also conduct the training and technical assistance activities related to information dissemination (including minority job recruitment). More complex SEA technical assistance activities were effective only in States where there is a commitment by the State to school desegregation both in terms of a clear State policy and specific goals and objectives for its enforcement. Two of the thirteen Title IV SEA units visited had such an operational commitment to desegregation and those were judged as the most effective by all measures of effectiveness that were used.

2/ Project effectiveness was measured with a series of rating scales completed by interviewers after they conducted site visits at the project and school districts served by the project. Ratings were made of the effectiveness or impact of a project on the policies, programs, personnel, institutional structure, and training aspects of the districts served by the project. Effectiveness ratings were correlated with other characteristics of projects (in this case, organizational characteristics) separately for DACs and the other categories of Title IV projects.

The 1978 regulations provide substantial points in the criteria for awards for the SEA commitment to desegregation and require a minimum of 60 out of 100 total points for funding.

Training Institutes (TIs) for race desegregation tend to provide specialized activities relating to the training of school personnel. TIs essentially structure themselves to meet specific district needs. TIs can be effective if the district has a favorable desegregation environment but have no leverage and are not effective in less amenable districts. As noted at the start of this section, the new regulations direct TI services only to districts recently adopting desegregation plans and require that training be related to desegregation.

The evaluation found that the success of the direct grants to LEAs for race desegregation was dependent upon a favorable desegregation environment within the district. Without such a commitment the advisory specialist lacked influence to deal with desegregation issues.

Ongoing and Planned Evaluation Studies:

None.

Sources of Evaluation Data:

1. Crocker, S., et al. Title IV of the Civil Rights Act of 1964: A Review of Program Operations (2 volumes). Santa Monica, California: Rand Corporation, 1976.
2. Kings, N.J., Thomas, M.A., & Graubard, M.H. Title IV of the Civil Rights Act of 1964: Expansion of Program Responsibilities. Santa Monica, California: Rand Corporation, 1977.
3. Mogin, B. The State Role in School Desegregation. Menlo Park, California: Stanford Research Institute, 1977.
4. Title IV and School Desegregation: A Study of a Neglected Federal Program. Washington, D.C.: U.S. Commission on Civil Rights, 1973.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Follow Through

Legislation:

Economic Opportunity Act of 1964
as amended by P.L. 95-568.

Expiration Date:

October 1981

Funding History:	Year:	Authorization: 1/	Appropriation:
	1968		$15,000,000
	1969		32,000,000
	1970		70,300,000
	1971	70,000,000	69,000,000
	1972	70,000,000	63,060,000
	1973	70,000,000	57,700,000
	1974	70,000,000	53,000,000
	1975	69,000,000	55,500,000
	1976	60,000,000	59,000,000
	1977	60,000,000	59,000,000
	1978	60,000,000	59,000,000
	1979	70,000,000	59,000,000
	1980	85,000,000	44,250,000
	1981	100,000,000	26,250,000

Program Goals and Objectives:

According to the authorizing legislation, the Follow Through Program provides "financial assistance in the form of grants to local educational agencies, combinations of such agencies and any ... other public or appropriate nonprofit private agencies, organizations, and institutions for the purpose of carrying out Follow Through programs focused primarily on children from low-income families in kindergarten and primary grades, including such children enrolled in private nonprofit elementary schools, who were previously enrolled in Headstart or similar programs." Further, the legislation provides that projects must provide comprehensive educational, health, nutritional, social, and other services which will aid the continued development of the children.

Follow Through is defined in its regulations as "an experimental community services program designed to assist, in a research setting, the overall development of children enrolled in kindergarten through third grade from low-income families, and to amplify the educational gains made by such children in Head Start and other similar quality

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1/ An authorization level was not specified prior to FY 71.

preschool programs by: (a) implementing innovative educational approaches, (b) providing comprehensive services and special activities in the areas of physical and mental health, social services, nutrition, and such other areas which supplement basic services already available within the school system, (c) conducting the program in a context of effective community service and parental involvement, and (d) providing documentation on those models which are found to be effective."

Comprehensive services and parental involvement are required in all projects. The experimental feature of the program has been the evaluation of a variety of educational models, sponsored by university or research institutions that have designed approaches to early childhood education. These sponsors are responsible for delivering and installing their models at local sites, and providing for continuous technical assistance, teacher training, guidance, and quality control. The primary focus of evaluation activities has been the relative effectiveness of the alternative educational models. The overall goal was to add to our knowledge about what works and what does not work for children from low income families.

An evaluation of the most frequently occurring models was completed in 1977 (see Program Effectiveness and Progress section for a summary of results). Since that time, HEW (and now the Department of Education) has been considering what direction the program should take. A recently completed program review (New Directions for Follow Through, October 1979) recommended that the program should have two objectives: to provide effective services to school children and to produce knowledge about which services are effective. The majority of local Follow Through projects would be managed to provide effective services but a small proportion (say 20%) would be managed to produce knowledge about what services are effective. The proposed shift from an experimental program to one in which a major goal is provision of effective services has broad implications. For further details about the redirection of Follow Through, see the section on Program Effectiveness and Progress.

Program Operations:

Grants within Follow Through are made only on continuation basis, i.e., to be eligible for a grant you must have received a grant from Follow Through in the preceding fiscal year.

The major portion, approximately 81 percent, of the Follow Through FY 1979 appropriation was used for grants to 153 local educational agency projects which include an educational component and a variety of non-instructional services to children.

The next largest portion, approximately 10 percent, of the Follow Through apropriation was distributed as grants to 19 sponsors of educational models.

Approximately five percent of the Follow Through appropriation was spent to fund expanded demonstration activities in 21 sites (known as resource centers) judged exemplary by the Education Department Dissemination Review Panel.

About four per cent of the Follow Through appropriation was spent on evaluation contracts. Due to the reduced appropriation in 1981, the number of projects and sponsors has been reduced for academic year 1981-82. There are now 15 sponsors and 84 projects funded by Follow Through.

Program Scope:

In FY 1979, more than 63,500 children in kindergarten through third grade participated in Follow Through at more than 600 elementary schools across the country. The program emphasizes community and parental involvement and encourages the focusing of available local, State, private, and Federal resources on the needs of Follow Through children. The Follow Through program is quite broad in scope and encompasses instructional and non-instructional services. The most recent detailed cost data, collected in 1976, shows that the largest portion (63%) of grant monies went for salaries of LEA staff such as teacher aides, project directors, and teachers. Of the remainder, 19% was spent on providing comprehensive services, 13% on model sponsors, and 5% on facilities and materials.

Program Effectiveness and Progress:

One measure of the ultimate effectiveness of Follow Through is the degree to which it has fostered the development of successful approaches to the education of low income children. Information pertaining to this issue is reported below in two categories: (1) results of national longitudinal evaluation studies; and (2) approval of local Follow Through projects for national dissemination by the USOE/NIE Joint Dissemination Review Panel (JDRP). Also reported are the results of planning studies conducted by USOE in preparation for possible future Follow Through experiments and studies, and on-going evaluation activities.

National Longitudinal Evaluation Studies:

The goal of the Follow Through national evaluation was to identify effective educational approaches for low income children in kindergarten through third grade. The national evaluation focused on assessing outcomes for children in 16 sponsored models, plus some unsponsored sites. The performance of Follow Through children, grouped at the site level, was compared to that of children from similar socio-economic backgrounds who did not participate in Follow Through. Because the comparison children were chosen after the program began, in some sites they were not very well matched to the Follow Through participants. Interpretation of study through third grade. The national evaluation focused on assessing outcomes results was further complicated by the fact that comparison children also often received supplementary services similar to but in lesser amounts than Follow Through children. The effects of the models were assessed over three cohorts (entering groups) of children on a variety of measures, including reading, mathematics, spelling, language arts, abstract reasoning, and self-esteem. The most recent data from the national evaluation were gathered in Spring, 1975.

Key findings from the evaluation reports completed in 1977 are as follows:

- Student achievement scores varied substantially among the sites using a particular model; overall averages across models varied little in comparison.
- Several models that emphasized basic skills showed greater effectiveness in helping children achieve these skills; children in these models also tended to have higher scores on affective measures, such as an index of self-esteem.
- Many models showed no greater effectiveness overall than the programs for comparison children, who tended to have received other compensatory education, such as Title I services.
- The cost per child in Follow Through is high relative to other federal compensatory education programs. (Because of lower appropriations, costs per pupil in Follow Through are, on average, approximately the same as ESEA Title I.)
- There was large across-site variability in price-adjusted costs of the same classroom model.

Education Department Dissemination Review Panel Approvals:

In later summer 1977, 36 Follow Through projects were presented to the Dissemination Review Panel. Evidence of effectiveness for each project was reviewed by the panel and 21 projects were judged exemplary, i.e., these 21 projects were judged to have presented persuasive evidence of program effectiveness and to be suitable for nationwide dissemination. These 21 projects represented about 14% of all Follow Through projects. Results of the DRP and the national longitudinal evaluation studies show only a weak positive correspondence. Since that time, 27 more projects have been validated by the DRP. This may indicate that project effectiveness changes over time and that frequent evaluation is necessary if evaluation results are to be used in managing the program.

Planning Studies:

In 1979, HEW completed an exploratory evaluation of the Follow Through program and in early 1980 planning studies for new research activities in Follow Through were completed. In the exploratory evaluation, HEW recon-

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sidered the purpose and operation of the program and concluded that it should shift from a primary emphasis of knowledge production about the early childhood education of low income children to a mix of knowledge production and delivery of effective services to children, with emphasis on the latter. To accomplish this shift, new program regulations will have to be published. Tentatively, the following important changes would have to be made: current district grantees would not necessarily be refunded; those designated as "service projects" could choose to dissociate from sponsors; any SEA, LEA, current sponsor, or other organization would be eligible to participate in the knowledge production portion of the program; knowledge production projects would not necessarily be associated with sponsors; SEAs would no longer be funded to provide technical assistance and dissemination activities; and resource centers would be redirected.

Several planning studies were completed in early 1980. These studies focused on: (1) identifying potential new instructional models; (2) examining the possibilities for using existing data bases to study later or long-range effects of participation in Follow Through; (3) the combining of instructional practices from more than one FT model; (4) implementation of models in new sites; (5) how new research and evaluation examining instructional activities in FT could be conducted; and (6) an examination of resource center activities. As a result of these studies, promising potential new models have been identified, data for a study of long-range effects of several models in one site is being compiled, a joint model combining two current Follow Through models has been constructed, insights into how school districts implement models and associated problems are being shared with program operation personnel, a variety of potential approaches for estimating Follow Through effectiveness has been produced, and a description and analysis of resource center activities has been disseminated.

Preliminary findings from the Study of Parental Involvement indicate, that, in keeping with its regulations, Follow Through parents are often involved in a variety of activities at the local sites. However, there is considerable variation in the manner in which sites interpret regulations and thus there is a wide range in terms of breadth and intensity of parental involvement activities.

On-going Evaluation Activities:

Follow Through is one of four programs being examined in the area of parent involvement; results from the study will be published in Fall 1981. Follow Through is also in the process of developing and testing a system for monitoring the performance (efficiency, effectiveness, and responsiveness) of service projects and in the process of developing plans for evaluation of pilot projects.

Sources of Evaluation Data:

The Follow Through Planned Variation Experiment

Volume I. *A Synthesis of Findings*. Washington, D.C.: DHEW USOE, in preparation.

Volume II-A. *National Evaluation: Patterns of Effects*. Cambridge, MA: Abt Associates, Inc., 1977.

Volume II-B. *National Evaluation: Detailed Effects*. Cambridge, MA: Abt Associates, Inc., 1977.

Volume II-C. *National Evaluation: Detailed Effects*. Cambridge, MA: Abt Associates, Inc., 1977.

Volume II-C. *Appendix*. Cambridge, MA: Abt Associates, Inc., 1977.

Volume III. *Sponsor Evaluation: Patterns of Effects*. Washington, D.C.: Follow Through Sponsors, in preparation.

Volume IV. *Cost Analysis*. Bethesda, Maryland. RMC Research Corporation, 1977.

Volume V. *A Technical Hisltory of the National Follow Through Evaluation*. Cambridge, MA: The Huron Institute, 1977.

Volume V. *Appendix: Analysis of Interim Follow Through Reports*. Cambridge: The Huron Institute, 1977.

Follow Through Exploratory Evaluation. Washington, D.C.: Hew Assistant Secretary of Planning and Evaluation, in draft, July 12, 1979.

New Directions for Follow Through. Washington, D.C.: HEW Assistant Secretary for Planning and Evaluation, in draft, October 11, 1979.

Parents and Federal Education Programs: Preliminary Finding. Santa Monica, CA: System Development Corporation, 1981.

A Search for Potential New Follow Through Approaches. Cambridge, MA: Abt Associates, Inc. 1980.

Opportunties for Studying Later Effects of Follow Through. Cambridge, MA: Abt Associates, Inc. 1980.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

School Assistance in Federally Affected Areas (SAFA):
Maintenance and Operations

Legislation:	Expiration Date:
P.L 81-874, as amended by P.L. 95-561.	September 30, 1983 1/

Funding History:

Year	Authorization	Appropriation
1962	247,000,000	247,000,000
1963	282,322,000	282,322,000
1964	320,670,000	320,670,000
1965	359,450,000	322,000,000
1966	388,000,000	388,000,000
1967	433,400,000	416,200,000
1968	461,500,000	486,355,000
1969	590,950,000	505,900,000
1970	1,150,000,000	505,400,000
1971	935,295,000	536,068,000
1972	1,024,000,000	592,580,000
1973	1,025,000,000	635,495,000
1974	989,391,000	574,416,000
1975	980,000,000	636,016,000
1976	995,000,000	684,000,000
Transition Quarter		70,000,000 2/
1977	1,090,192,000 3/	768,000,000
1978	1,135,000,000 3/	775,000,000 4/
1979	1,309,166,000 3/	786,000,000 4/
1980	1,404,900,000	792,000,000 5/
1981	1,487,700,000	706,750,000
1982	455,000,000	436,800,000 6/

1/ Provisions pertaining to "A" category pupils and children attending schools on Federal installations are permanent.

2/ Includes $15 million in Transition Quarter funds for fiscal year 1977 start up costs.

3/ Does not include disaster provisions.

4/ Includes appropriation for major disaster payments.

5/ Includes $20 million supplemental for major disasters.

6/ Amount provided by the 1982 Continuing Resolution.

Program Goals and Objectives

P.L. 81-874 provides assistance to local school districts for current operating costs of educating children in areas where enrollments and local revenues are affected by Federal activities. The purpose of the legislation is to minimize the fiscal inequities and deficiencies resulting from and caused by both the occupancy of tax-exempt Federal lands and the burden of providing public school education to children who reside on Federal property and/or have a parent who is either employed on Federal property or a member of one of the uniformed services (Section 3). The law also provides for the full cost of educating children residing on Federal property when no State or local funds may be expended for the schooling of such children or where no local education agency is able to provide suitable free public education (Section 6). Indian lands and low-rent housing properties (assisted under the United States Housing Act of 1937 and subsequent amendments in 1949 and 1964) are included as eligible Federal property under this law. Assistance for major disasters is also provided to schools through the program.

P.L. 874 is the closest approximation to general or block aid from the Federal government available directly to eligible school districts. In general, SAFA funds become part of the general operating accounts of LEAs. However, Impact Aid payments for handicapped children of military personnel and handicapped children residing on Indian lands must be used for programs to meet the needs of these children.

Program Operations

Payments are made directly to local education agencies (or to Federal agencies where they are operating schools). An entitlement is the product of the number of federally-connected pupils multiplied by an amount approximately equal to an agency's local contribution rate (LCR=the number of dollars raised from local taxes and required to educate one pupil in attendance in comparable districts) and is intended to compensate for the burden imposed by the various types of federally connected children at a rate which approximates locally raised educational costs. The local contribution rate may be based either on comparable districts' per pupil costs derived from local revenues, or alternatively, on a minimum rate equal to the greater of one-half the State or national average per pupil cost.

The percentage of the local contribution rate to which an agency is entitled varies for over a dozen subcategories of federally connected children. These include various category "A" children (generally children who live on Federal property with a parent who works on Federal property) and various category "B" children (generaly who live on Federal property or live with a parent employed on Federal property, ut not both). The percentages of the local contribution rate attributable to the different subcategories reflect the different types of federally connected children and how they impose differeing degrees of financial burdens on school districts. The degree of burden therefore varies with the location of the child's residence and with the location of the parent's place of work.

Applications for payments are submitted to the Secretary of Education through the State Education Agency which certifies that information on the local education agency's application is accurate insofar as records in the State Office are concerned.

Program Scope

In 1980, awards were made to approximately 4,300 school districts containing 2,375,000 federally connected school children. Included were payments to other Federal agencies maintaining schools for 40,000 pupils. Since the funds are available for the general operating accounts of school districts, some or all of the 24 million children enrolled in SAFA-aided school districts could conceivably benefit from the aid provided by the program. Also, in FY 81, funds were obligated for disaster assistance in the amount of 32 million dollars. On the average, federal payments represented about 2 percent of the total operating costs of eligible districts in 1981, with a range of less than 1 percent to more than 90 percent of the operational expenditures.

Program Effectiveness and Progress

A number of evaluation studies of the program have been conducted since 1965. One recent study was conducted by the Department of Health, Education and Welfare in 1978.

The principal findings of this study are:

- o School districts may be overcompensated for the Federal burden imposed to the extent that:
  - oo Children such as out-of-county "B" and public housing children are included in the count of federally connected children.
  - oo Local contribution rates overestimate what local educational costs would have been in the absence of Federal impact.
- o Program funds are not equitably distributed in terms of district wealth and need because:
  - oo Twenty percent of program funds go to impacted districts found in the highest quartile of their State's distribution of per pupil property wealth. Furthermore, these districts could offset loss of impact aid funds by increasing local revenues by about 1.7 percent.
  - oo Sixty percent of Impact Aid districts have fewer than ten percent Federally connected children yet they receive twenty percent of all Impact Aid dollars.
- o The program fails to work well with State equalization programs to encourage and aid States to equalize per pupil expenditures among their districts because:
  - oo It provides coordination of Impact Aid payments with State equalization plans only for those States which pass strict equalization tests.

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- - For States which do not pass one of the equalization tests it provides aid in a disequalizing manner because the State is prohibited from offsetting Impact Aid payments to wealthy Impact Aid districts.

The findings of a 1980 Program audit include:

- Overcompensation for Federal burden occurs when:
  - Districts using the comparable district method are allowed to include local expenses financed by local property taxes equalized by the State in their computation of aggregate current expenses used to compute their LCRs.
  - Payments are made under Section 2 to districts experiencing a property loss due to Federal activity when that loss is compensated for under the State equalization program.
- Undercompensation for Federal burden may occur when:
  - Heavily impacted districts incurring a tax effort at least equal to the State average, do not achieve the State average of per pupil expenditures when impact aid payments are counted.

Recommendations of the Program Audit include:

- With regard to Section 6 schools:
  - that procedures be implemented by which the Secretary of Education may ensure that funds are effectively spent in these schools.
  - that the school boards of such schools be given the same powers and duties as those of elected (or other legally constituted local school authority to provide free public education within legal geographic boundaries) school boards throughout the Nation. (Policy implementation, however, would require the concurrence of the military base Commander.)
  - that the program director seek the closing of those schools no longer needed.
- With regard to LEAs serving Indian children, the Audit recommended:
  - that technical assistance in the form of a booklet and workshop be provided to these LEAs to assist them in meeting their responsibility of developing policies and procedures to assure adequate participation of the parents of these children in the education of their children and to assure the equal participation of the children in the school program.

- With regard to the system of management of grant programs, the audit recommended:
    - changes in the method by which preliminary payments are processed in order to meet the Congressionally mandated deadline for making such payments to LEAs.
    - changes in the method of processing applications under Section 3 in order that these applications will be processed and approved within two weeks of the closing date for applications.
    - increasing the number of program officers in the Field Operations Branch in order to recover anticipated overclaims made by LEAs.

The findings of the DHEW study and the options which it explored as ways of remedying program ineffectiveness were largely ignored by Congress in the 1978 program reauthorization. The Program Audit, on the otherhand, recommended program changes which do not require a change in the Act. Of the twenty-one policy issues which the audit identified, eleven were resolved internally. Of the remaining issues the Assistant Secretary for Elementary and Secondary Education has requested that the program office implement the recommendations made on three of these issues. Therefore, the recommendations on seven of the twenty-one issues have not been pursued. It is expected that those Audit recommendations which are implemented will provide a more equitable allocation of program funds among impacted LEAs and will lead to a timely processing of applications.

Ongoing and Planned Evaluation Studies

Ongoing: Section 1015 of the Education Amendments of 1978(P.L. 95-561) requires the President to appoint a Commission on the Review of the Federal Impact Aid program consisting of ten members. The Commission is charged with reviewing and evaluating the administration and operation of the Impact Aid program including -

(1) the equity of the present funding structure under Public Law 874

(2) the relative benefit of the assistance for impact aid under Public Law 874 in view of the increasing costs of the program and the limitation on the availability of funds, and

(3) the ways in which districts of local educational agencies which are Federally impacted can best be assisted in meeting their educational needs.

On April 29, 1980 the Commission submitted an interim report to the President and Congress. This report was generally supportive of the program as it now stands.

Planned: No new studies are currently planned.

Sources of Evaluation Data

Current

1. The Commission on the Review of the Impact Aid Program, Interim Report, April 29, 1980.

2. Dr. William Rock, et. al., DSAFA Program Audit Spring, 1980. (Internal Document).

Other

3. Stanford Research Institute. Effects of Federal Installation Phase-Outs Upon School Districts. Menlo Park, California: Stanford Research Institute, 1965.

4. Battelle Memorial Institute. School Assistance in Federally Affected Areas: Study of Public Laws 81-874 and 81-815, published by Committee on Education and Labor, H.R. 91st Congress, 2nd Session, GPO, 1970.

5. Commissioner of Education, U.S. Department of Health, Education and Welfare, Administration of Public Laws 81-874 and 81-815. GPO, 1977.

6. Comptroller General of the United States, Assessment of the Impact Aid Program. Report to the House Committee on Education and Labor, October 15, 1976.

7. L.L. Brown III, A.L. Ginsburg, and M. Jacobs, Office of the Assistant Secretary for Planning and Evaluation, Education Planning Staff, U.S. Department of Health, Education and Welfare, Impact Aid Two Years Later, March 15, 1978.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

School Assistance in Federally Affected Areas (SAFA): Construction

Legislation:

Public Law 81-815 as amended
by Public Law 95-561.

Expiration Date:

September 30, 1983 1/

Funding History:	Year:	Authorization:	Appropriation:
	1962	61,942,000	61,942,000
	1963	63,686,000	63,686,000
	1964	60,346,000	23,740,000
	1965	58,400,000	58,400,000
	1966	61,080,000	50,078,000
	1967	52,937,000	52,937,000
	1968	80,000,000	22,937,000
	1969	80,000,000	14,745,000
	1970	80,407,000	15,167,000
	1971	83,000,000	15,300,000
	1972	91,250,000	19,300,000
	1973	72,000,000	25,910,000
	1974	72,000,000	19,000,000
	1975	72,000,000	20,000,000
	1976	70,000,000	20,000,000
	1977	70,000,000	25,000,000
	1978	70,000,000	30,000,000
	1979	70,000,000	30,000,000
	1980	indefinite	33,000,000
	1981	indefinite	50,000,000
	1982	20,000,000	20,000,000 2/

Program Goals and Objectives:

Public Law 81-815 is designed to provide local education agencies enrolling children whose parents live or work on Federal property with financial aid for school construction under specified conditions: for construction of urgently needed minimum school facilities in school districts which have had substantial increases in school membership as a result of new or increased Federal activities (Section 5); where provision of the non-Federal share of construction imposes a financial hardship (Section 8); and for the construction of temporary school facilities where a Federal impact is expected to be temporary (Section 9).

1/ Provisions pertaining to Section 5(a)(1) pupils and Sections 10 and 14 are permanent.

2/ Amount provided by the 1982 Continuing Resolution.

The law also directs the Secretary to make arrangements for providing minimum school facilities for children living on Federal property if no tax revenues of the State or its political subdivisions may be spent for their education or if the Secretary finds that no local education agency is able to provide a suitable free public education (Section 10). Assistance is authorized for construction of minimum school facilities in local education agencies serving children residing on Indian lands by Section 14(a) and 14(b). Section 14(c) authorizes assistance to financially distressed local education agencies which have substantial Federal lands and substantial numbers of unhoused pupils. Emergency aid is available to LEAs for the reconstruction of school facilities destroyed or seriously damaged in school districts located in declared major disaster areas (Section 16).

Program Operations:

All grants are made to qualified school districts on the basis of applications. The amount of payment to a local school district under Section 5 of the Act depends upon the rate of payment associated with each category of federally connected children. Payment rates for children vary according to the extent to which the child's household is presumed to provide tax revenues to support education. For example, the highest rate, 100%, is associated with children who reside on Federal property and have a parent in one of the uniformed services of the United States. In this case it is presumed that the child's household pays neither property nor income taxes, and may pay minimum amounts in State sales taxes or other broad based taxes; nor does the place of the parent's employment pay property taxes. The lowest rate, 40%, applies to a category of households which does not live on Federal property and hence is expected to pay some property, sales, and income taxes.

For other sections of the law, full costs of construction are authorized, but are limited to actual cost of providing minimum school facilities for children who would otherwise be without such facilities.

Because appropriations for Public Law 81-815 have been substantially below the amounts required for funding of all qualified applicants, the basic law, since Fiscal Year 1967, has placed priorities on the Sections to be funded. Section 16, disaster assistance, receives first priority. The law allows the Secretary to fund disaster assistance under Section 16 from any available funds as the need arises, with payments under other sections then covered by any subsequent appropriations made by the Congress for disaster assistance. According to the authorizing legislation, applications under Sections 9, 10, 14(a) and 14(b) receive priority over applications under the remaining Sections (5, 8, and 14(c)). However, beginning with fiscal year 1973, appropriations language went beyond the priorities set by the authorization act and appropriated specific amounts for specific sections.

The law requires that eligible applications be ranked within each section on the basis of relative urgency of need, and that available funds be assigned on this basis. The ranking by relative urgency of need is based on the percentage of federally connected children eligible for payment in a school district and the percentage of "unhoused" pupils in the district. "Unhoused" pupils are those in membership in the schools of a district over and above normal capacity of available and usable minimum school facilities.

In recent years, appropriation language has directed available funds for use towards the most urgent needs for school facilities. Funds have been directed toward high priority projects under Section 9 (facilities needed because of a temporary influx of federally-connected children), Section 10 (schools on Federal property), and Sections (14(a) and 14(b) (schools for children residing on Indian lands). Section 5 has, in general, received the balance of funds appropriated over and above funds appropriated directly for Sections 9, 10, and 14(a) and (b).

The allocations in recent years are as follows:

(amounts in millions of dollars)

Section	1978	1979	1980	1981
5	$4.0	$1.0	$3.0	$3.0
9	5.0	---	---	---
10	10.5	13.0	13.0	25.0
14	10.5	16.0	17.0	22.0
TOTAL	$30.0	$30.0	$33.0	$50.0

Program Scope:

Since 1951, Public Law 81-815 has provided approximately $1.8 billion for school construction to house more than 2.8 million pupils. Only the most urgent projects at the top of the priority rating for the different sections are funded under current appropriation levels. Substantial increases have been provided for Sections 10 and 14(a) and (b) although the backlog of eligible applications continues to increase. In addition, more than $36 million has been obligated to assist in reconstruction of school facilities destroyed or seriously damaged by major disaster since such assistance was authorized in 1966.

In FY 80, under Section 5, slightly more than $2.9 million was reserved for 11 projects involving new construction in 9 school districts, and $5.7 million of DOD funds were transferred to the program to finance the upgrading of facilities in 7 school districts in the State of Washington impacted by the Trident Missile Project. Under Section 14, a total of $5.7 million has been reserved for 3 new projects and 3 other projects begun in previous years. Finally, under Section 10, $5.4 million has been committed for 42 projects at 54 installations for the purpose of upgrading the life-safety conditions at these locations. Remaining funds may be spent to fund a new project.

Program Effectiveness and Progress:

A primary concern of the program is the backlog of eligible applications which has accumulated since 1967, the last year for which appropriations were adequate to fund current needs. By the end of Fiscal Year 1979 the backlog was estimated to involve 454 project applications requiring $591.3 million to fund. The backlog, at the end of fiscal 1980, is as follows:

	Amount [3]	Number of Projects
Section 5	$98,000,000	246
Section 10	246,000,000	110
Section 14	229,300,000	98

The ability of the program to determine the construction needs based on past applications is compromised due to:

a) districts not filing applications because of the limited chance of receiving a grant;

b) districts obtaining funds from other sources to meet their construction needs,

c) the need to adjust past estimates of construction costs for inflation, and

d) the influence of decreasing enrollments.

Recognizing that the above factors have worked against the program's ability to ascertain construction needs, program administrators conducted an in-depth study of the construction needs of Section 10 schools. Completed in early 1978, the study found that a total of $200 million (measured in 1976 dollars -- for 1981 an increase factor of 10% per year or 50%) was needed to:

a) upgrade existing Section 10 school facilities to meet life safety and handicapped access standards ($10.5 million - to be factored for increased escalation costs from 1976);

3/ Estimates are subject to confirmation of current needs as well as increases in costs for construction and increases to meet current school housing standards.

b) replace facilities where upgrading could not meet life safety and handicapped access standards ($60 million); and

c) adequately house the pupils enrolled in these schools ($128.5 million).

The study's findings have been used as a basis for making budgeting recommendations to Congress.

In 1979, the U.S. Office of Education conducted site visits at seven LEAs (who had applied under Section 14) to document life/safety hazardous conditions in schools on or near Indian reservations. Three of the seven districts were found to have severe life/safety hazardous conditions in one or more of their schools. Based, in part, on this study's findings and that of a Program Officer, the Director recommended to the U.S. Commissioner of Education that an up-to-date analysis of construction needs of Section 14 schools be conducted through site visits to 10% of the 700 LEAs and a mail survey to the remaining LEAs. To date no action on this recommendation has occurred.

Ongoing and Planned Evaluation Data:

The Department of Education is considering studying the construction needs of impacted school districts for the purpose of providing Congress with current information regarding these needs.

Sources of Evaluation Data:

Current

Condition, Safety and Adequacy of Schools Serving Children Who Reside on Indian Lands, DHEW, 1979.

In-Depth Study of Federally-owned School Facilities Provided Under Section 10 of Public Law 81-815, Department of Health, Education, and Welfare, 1977.

Other

Battelle Memorial Institute, School Assistance in Federally Affected Areas: A Study of Public Laws 81-874 and 81-815 published by the Committee on Education and Labor, H.R. 91st Congress, 2nd Session, GPO, 1970.

U.S. Department of Health, Education and Welfare. Administration of Public Laws 81-874 and 81-815. Washington: Government Printing Office, 1978.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Allen J. Ellender Fellowships

Legislation:

Public Law 92-506, as amended by P.L. 94-277, as extended by the Omnibus Education Reconciliation Act of 1981.

Expiration Date:

September 30, 1982

Funding History:	Year:	Authorization:	Appropriation:
	1973	$ 500,000	$ 500,000
	1974	500,000	500,000
	1975	500,000	500,000
	1976	500,000	500,000
	1977	750,000	750,000
	1978	750,000	750,000
	1979	1,000,000	1,000,000
	1980	1,000,000	1,000,000
	1981	1,000,000	1,000,000
	1982	1,000,000 1/	

Program Goals and Objectives:

Public Law 92-506 authorizes the Commissioner of Education to make grants to the Close Up Foundation of Washington, D.C., to help increase understanding of the Federal Government by secondary school students, their teachers, and the communities they represent.

Program Operations:

The program is a Washington-based political education program for secondary school students and their teachers. It consists of a week-long series of meetings, seminars and workshops with members of Congress, members of the Executive and Judicial branches of government, Congressional committee staff members, lobbyists, reporters, foreign government representatives, and others.

The Foundation program is community-based, i.e., local interest and support is required for participation in the program. Effort is made to match the Ellender Fellowship funds on at least a 50% basis by other public and private funds. Recipients are chosen by each school and criteria for selection varies from essay contests to interviews by teachers. In each participating community, an Ellender Fellowship is awarded to a student of low or moderate income and to a teacher from from each secondary school.

1/ Omnibus Education Reconciliialtion Act of 1981

Other participants receive grants from alternate sources of funds, pay their own expenses, or earn funds in school and community projects to cover expenses. Thus, a large group of students and teachers from a community, region or State, representative of all socioeconomic levels, comes to Washington together to learn about government and the democratic process and to develop an understanding of their areas' needs and concerns.

In an effort to reach additional secondary school students and teachers with citizenship education programs, the Close Up Foundation added a telecommunication facility to their activities. From December 1979 through May 1980, using committee rooms of the House of Representatives as a studio, Close Up produced 68 forty minute television programs featuring prominent officials. The format included discussions with high school students many of whom were Ellender Fellowship recipients participating in the Close Up Foundation Washington seminars. These programs were telecast over C-SPAN (Cable Satellite Public Affairs Network) with access through direct links or cassettes to over 2,000 secondary schools. Close Up also publishes written materials including a Teacher's Guide to C-SPAN; Current Issues, a booklet that examines contemporary questions; and Perspectives, a book of readings on government operations with articles by leading members of Congress, representatives of the Executive and Judicial branches and others.

The program has also generated numerous State and local activities around the country which have involved many additional students and teachers in participating communities. Close Up provides technical assistance and support to local education officials, business leaders and civic organizations who cooperate to develop government education programs that complement the Washington learning experience.

Program Scope:

Ellender Fellowship grants were made to approximately 1900 students and teachers in 1980. These grants included costs of room, board, tuition, administration, insurance and transportation, and averaged about $515 per participant. The Ellender Fellowship recipients were part of some 13,500 students and teachers from 29 areas across the nation who participated in the program. The Close Up Foundation continued to develop specially planned seminars for some 300 handicapped participants, including paired programs for hearing and visually impaired. In addition, over 50 international students and teachers from Venezuela, Egypt, Morocco, Japan, Greece and Spain took part in the 1979-80 program as a privately-funded pilot project.

Program Effectiveness and Progress:

The Close Up Foundation contracted with Social Education Associates in 1974-75 to conduct a preliminary impact assessment. On measures of affective change such as political awareness and interest in political affairs, students were shown to have undergone positive changes of a statistically significant nature.

Ongoing and Planned Evaluation Studies:

An internal evaluation program requires every student and teacher participant to complete a survey on the educational content of the program which generates data for program modification. A comprehensive evaluation program designed to measure long term cognitive and behavioral effects is currently under consideration by the Close Up Foundation for implementation to begin during the 1980-81 program year. Additionally, over 60 participating teachers have taken a specially-designed course in curriculum from the Johns Hopkins University where they evaluated specific elements of Close Up methodology adapted for local and regional use.

Sources of Evaluation Data:

Close Up Foundation (see text). Washington, D.C.: 1980.

To Extend Support of Allen J. Ellender Fellowships. Hearings before the Subcommittee on Elementary, Secondary and Vocational Education of the Committee on Education and Labor, House of Representatives, 94th Congress, 2nd Session. Hearings held in Washington, D.C.: Government Printing Office, 1976.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name

Career Education

Legislation: [1] — Expiration Date:

P.L. 95-207 — September 30, 1983

Funding History	Year	Authorization	Appropriation
	1975	$15,000,000	$10,000,000
	1976	15,000,000	10,135,000
	1977	15,000,000	10,135,000
	1978	15,000,000	10,135,000
	1979	65,000,000	20,000,000 [2]
	1980	100,000,000	15,000,000 [3]
	1981	100,000,000	10,000,000
	1982		[4]

Program Goals and Objectives:

P.L. 95-207, The Career Education Incentive Act, is the implementation phase of the developmental work initiated under P.L. 93-380. Under that earlier legislation the Congress authorized a program which provided leadership in the development of career education and which put major emphasis on demonstrations of the best career education programs and practices and on developing State plans for implementing career education programs.

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[1] During FY 75 this Program operated under the authority of the Cooperative Research Act. In FY 76 through FY 78 it operated under the Special Projects Act, Public Law 93-380, Sections 402 and 406. Under the latter Act, half of the Special Projects funds went directly to the Commissioner for use in contracts and the other half to the programs named in that Act, one of which was Career Education. P.L. 93-380 expired at the end of 1978 and the Congress passed the Career Education Incentive Act (P.L. 95-207) on December 13, 1977 to authorize funding beginning in FY 79 and ending in FY 83.

[2] The Congress originally appropriated $32.5 million for FY 79. After receiving a request to rescind these funds, the Congress cut the appropriation to $20 million. The conferees stated that the entire amount should be spent on the elementary and secondary career education provisions of the Act (Grades K-12).

[3] The Congress originally appropriated $20 million for FY 80. After receiving a recission request the Congress reduced the appropriation to $15 million, all of which was to be spent on the elementary and secondary career education provisions of the Act.

[4] The Career Education Incentive Act is included in a block grant under Chapter 2 of the Education Consolidation and Improvement Act of 1981. No individual dollar amount is specified under the block grant.

Public Law 95-207 became operative with the appropriation of funds for FY 79. In this Act, the Congress states that its purpose is "...to assist States and local educational agencies...in making education as preparation for work, and as a means of relating work values to other life roles and choices (such as family life), a major goal of all who teach and all who learn by increasing the emphasis they place on career awareness, exploration, decision making, and planning, and to do so in a manner which will promote equal opportunity in making career choices through the elimination of bias and stereotyping in such activities, including bias and stereotyping on account of race, sex, age, economic status, or handicap." The Regulations for "Career Education Incentive Programs," which were published in the Federal Register on October 17, 1979, summarize this purpose.

Program Operations:

Both maintenance of effort and matching are required in the State allotment program under the new Legislation. To maintain effort in career education a State must spend from its own resources an amount at least equal to the amount the State spent for career education in the preceding fiscal year. The matching requirement provides that the cost of State administration of the Act may be 100% from Federal funds in FY 79, but the State must pay at least 25% for FY 80, and at least 50% for FY 81, 82, and 83. Further matching provisions require that funds for State leadership and local educational agency programs may be 100% Federal in FY 79 and 80. However, the State must pay 25% in FY 81, 50% in FY 82, and 75% in FY 83. The non-Federal share of the cost of State leadership and local implementation may come from State, local, and private sources. It may include cash contributions, in-kind contributions, volunteer services, materials, and equipment.

No State may reserve more than 10% of its funds for providing State leadership activities listed in the Act, either directly or through arrangements with public agencies and private organizations. No State may reserve more than 10% of its funds for FY 79 and 5% of its funds for FY 80 through 83 for: (1) employing additional State educational agency personnel to administer and coordinate programs assisted under the Act, and (2) reviewing and revising the State plan. The unreserved funds must be distributed by the State to local educational agencies for comprehensive career education programs. At least 15% of the funds distributed to local agencies must be used for programs to develop and implement comprehensive career guidance, counseling, placement, and follow-up services using counselors, teachers, parents, and community resource personnel.

To obtain funds for comprehensive career education programs, a local educational agency must apply to its State agency. Each State agency will review the applications and may make payments to local educational agencies, to the extent practicable, on the basis of criteria established by the State agency and criteria in Section 8 (b) of the Act.

Unless a State is prohibited by Law from providing services to students and teachers in private and non-profit schools, the State must make provisions for the effecive participation on an equitable basis of private-school students and teachers in programs assisted under the Act. In States which are prohibited from providing such services, the Secretary of Education is responsible for providing that these private-school students and teachers participate. Private school officials must be consulted on the arrangements, and public agency in the State will administer the funds.

Each State is required to submit an annual report to the Secretary on or before December 31 of each year except FY 79. The report will contain: (1) an analysis of the extent to which each objective in the State plan has been achieved, (2) a description of the extent to which State and local educational agencies are using both Federal and their own resources to achieve these objectives, and (3) a description of the programs funded within the State, including an analysis of reasons for their successes and/or failures.

In order to receive FY 79 funding under the new Legislation each State Education Agency (including Insular areas) was required to submit, by June 14, 1979, a letter including assurances specified in the Federal Regulations. The amount of FY 79 funds distributed to the States in June and July, 1979 was $18.5 million. This represents the funds appropriated for FY 79 minus the set-asides allowed by the Law for discretionary use by the Secretary of Education. (The District of Columbia and Puerto Rico are included as States. The five insular areas received funding from the Secretary's discretionary funds with an amount equal to one per centum of the appropriation -- $200,000.)

To become eligible for further funding in FY 80 and beyond, each State and Insular area was required to submit a five-year plan for implementing career education in that State. These plans set out explicitly the objectives the State will seek to achieve by the end of each of the fiscal years for which funds are made available under the Act, describe how the funds will be used to implement the overall objectives in each fiscal year, set forth policies and procedures which the State will follow to assure equal access for all students, provide adequate assurance of complying with that part of the Law which authorizes State and local activities, and provide proposed criteria for evaluating the extent to which the State achieves the objectives set out in its plan.

These P.L. 95-207 plans were based on the State plans developed earlier under P.L. 93-380. Funds were made available under P.L. 93-380 in FY 76 and 77 to enable each State and Territory to prepare a five-year plan for implementing career education. Each State and Territory received a written evaluation of its plan during the period from March through May 1979. All States and Territories also received criteria and guidelines for adapting their plans to meet the requirements of the new Incentive Act, P.L. 95-207. (These evaluations were done under a contract with the Southwest Regional Laboratory for Educational Research and Development.)

Program Scope:

P.L. 95-207 makes State allotment funds available for 52 States--the usual 50 plus the District of Columbia and Puerto Rico. Allotment funds are made available for the insular areas as a one-percent set-aside in the Secretary's disretionary fund. In the first year of operation of the Act, all of the States except one (New Mexico) and all five insular areas applied for and received FY 79 funds by sending in the required letters of assurance.

In FY 80, all of the States except three (New Mexico, Nevada, and South Dakota) submitted and received approval of their State plans for career education and applied for FY 80 State allotment funds. In addition, all of the insullar areas except the Trust Territory of the Pacific submitted State plans and applied for FY 80 funds.

The Law provides that the funds appropriated under P.L. 95-207 for the State allotment program are to be distributed among the participating States on the basis of the population aged 5 to 18. Accordingly, in August of 1980 a total of $13,875,000 of FY 80 funding was distributed to the participating States and a total of $150,000 was distributed to the four participating insular areas. (This represents the funds appropriated for FY 80 minus the set-asides allowed by the Law for discretionary use by the Secretary of Education.)

In the distribution of FY 80 funding, there were 16 States which received minimum allotments of approximately $128,000 each. Twenty States received between $129,000 and $300,000 each, six States received between $301,000 and $500,000 each, six received between $501,000 and $1,000,000 each, and one State received slightly over one million dollars.

In June of 1981, a total of $9,250,000 of FY 81 funding was distributed to the 47 participating States, the District of Columbia, and Puerto Rico. In addition, a total of $100,000 was distributed to the insular areas. (This represents the funds appropriated for FY 81 minus the set-asides allowed by the Law for discretionary use by the Secretary of Education.)

In the distribution of FY 81 funding, there were 27 States which received minimum allotments of approximately $128,000 each. Fifteen States received between $129,000 and $300,000 each, five States received between $301,000 and $500,000 each, and two States received between $501,000 and $1,000,000 each. No State received more than one million dollars.

Program Effectiveness and Progress:

A substantial amount of data on the effectiveness of local programs has been gathered since 1974 and has been reported in the Annual Evaluation Report for FY 78. As of the end of FY 80 there were 14 projects which had been judged exemplary by the Joint Dissemination Review Panel of the Department of Education. Information on these projects is being disseminated through ED's National Diffusion Network.

An evaluability assessment of the new program initiated under P.L. 95-207 was completed in FY 80 and has been reported in a document entitled Implementation of the Career Education Incentive Act: Interim Report on the Evaluability Assessment (ED-186-679). This study concluded that the P.L. 95-207 career education program is plausible and measurable. The study also developed an evaluable program model which contains 113 activity/outcome linkages, and the study identified, for each linkage, (a) the activity, (b) the intended outcome, (c) the measures, (d) the data source, (e) the quantifiability, (f) the potency, and (g) the collection and processing ease/difficulty.

As a follow-on to the evaluabillity assessment completed in FY 1980, a rapid feedback evaluation was conducted in FY 1981, using the evaluable program model. Initial results of this effort were published in a document entitled Implementation of the Career Education Incentive Act: Interim Report on the Rapid Feedback Evaluation (ED-194-800). The final results were published in June of 1981 in a document entitled Implementation of the Career Education Incentive Act: Final Technical Report on the Rapid Feedback Evaluation. The overall conclusion of this evaluative effort was that P.L. 95-207 funds are serving the purposes envisioned by Congress when it enacted the Career Education Incentive Act.

Ongoing and Planned Evaluation Studies

It is planned that, in Fiscal Year 1982, an evaluation study will be conducted to determine the cash value of in-kind contributions and non-cash resources provided to career education projects in local education agencies. This study will attempt to develop an acurate and systematically derived estimate of the monetary value of cash contributions, volunteer services, materials, and equipment provided to local career education projects from non-Federal sources, as a result of the stimulus of the small Federal grants awarded under P.L. 95-207.

Sources of Evaluation Data:

Mitchell, Anita M. Assessment of State Plans for Career Education: Final Report. Los Alamitos, California: Southwest Regional Laboratory for Educational Research and Development, July 1979 (ED-178-735).

Mitchell, Anita M. Model State Plan Characteristics: A Guide for Refining State Plans for Career Education. Los Alamitos, California: Southwest Regional Laboratory for Educational Research and Development, July 1979 (ED-178-736).

Jung, Steven M. and others. Implementation of the Career Education Incentive Act: Interim Report on the Evaluability Assessment. Palo Alto, California: American Institutes for Research, March 1980 (ED-186-679).

Jung, Steven M. and others. Implementation of the Career Education Incentive Act: Final Technical Report on the Rapid Feedback Evaluation. Palo Alto, Callifornia: American Institutes for Research, October 1980 (ED-194-800).

Jung, Steven M. and others. Implementation of the Career Education Incentive Act: Final Technical Report on the Rapid Feedback Evaluation. Palo Alto, California: American Institutes for Research, June 1981.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Teacher Centers Program

Legislation:

Higher Education Act of 1965, Section 532, Title V-B, as amended by P.L. 94-482, P.L. 95-561, P.L. 96-374, Education Amendments of 1976, 1978, and 1980 respectively, as extended by the Education Consolidation and Improvement Act of 1981

Expiration Date:

September 30, 1985

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1977	$ 75,000,000	$ --
	1978	75,000,000	8,250,000
	1979	100,000,000	12,625,000
	1980	100,000,000	13,000,000
	1981	20,000,000	9,100,000
	1982	30,000,000	1/

Program Goals and Objectives:

The purpose of this program is to assist local educational agencies to plan, establish, and operate teacher centers, and institutions of higher education to operate teacher centers, where teachers, through Teacher Center Policy Boards, design and supervise programs of curriculum development and inservice teacher training. This training should enable the teachers, and schools, to better meet the educational needs of their students.

Program Operations:

Applications (after approval by the Teacher Center Policy Board) are submitted to the Secretary of Education through State educational agencies, which may screen out those that are unsuitable. Ten percent of the funds are awarded to institutions of higher education, 80 percent go to local educational agencies, and 10 percent go to State educational agencies to compensate them for screening the applications and for later providing technical assistance and dissemination services to the grantees. A recent amendment to the statute requires that at least one center be established in every State.

1/ Section 532 of Title V of the Higher Education Act of 1965 is included in a block grant under Chapter 2 of the Education Consolidation and Improvement Act of 1981. No individual dollar amount is specified for the program under the block grant.

The administering unit in ED stimulates sharing of experiences among the project directors by means of regional and national conferences, and facilitates the gathering of evaluative data by special funding to two teacher centers of expertise which in turn help the separate project directors.

Each center that performs satisfactorily may be funded annually for up to three years.

Program Scope:

During Fiscal Year 1980, the program's third year of operation, $11,354,400 supported 89 operational centers in 42 States, Guam and the District of Columbia. An amount of $345,600 funded 10 planning grants and $1,300,000 paid for States' program activities.

Program Effectiveness and Progress:

No overall evaluation study has been conducted on this program.

Ongoing and Planned Evaluation Studies:

No overall evaluation of the Teacher Centers Program has been undertaken by the Department of Education. Since 1978 there has been an intensive project at Syracuse University to document the organizational features and governance of 55 of the 89 centers as well as the activities and services that those centers have provided to teachers.

Sources of Evaluation Data:

Program records.

Sam J. Yarger and Sally K. Mertens, Teacher Centers Program Documentation Study. Syracuse: Syracuse University, 1980.

Sally K. Mertens and Sam J. Yarger, Teacher Centers in Action. Syracuse: Syracuse University, 1981.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:	Expiration Date:
Teacher Corps Program	FY 1983

Legislation:

Title V-A of the Higher Education Act
of 1965 (P.L. 89-329), as amended by
P.L. 90-35, P.L. 91-575, P.L. 91-230,
P.L. 93-318, P.L. 93-380 and P.L. 94-482

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1966	$ 36,100,000	$ 9,500,000
	1967	64,715,000	11,324,000
	1968	33,000,000	13,500,000
	1969	46,000,000	20,900,000
	1970	80,000,000	21,737,000
	1971	100,000,000	30,800,000
	1972	100,000,000	37,435,000
	1973	37,500,000	37,500,000
	1974	37,500,000	37,500,000
	1975	37,500,000	37,500,000
	1976	37,500,000	37,500,000
	1977	50,000,000	37,500,000
	1978	75,000,000	37,500,000
	1979	100,000,000	37,500,000
	1980	100,000,000	30,000,000
	1981	100,000,000	22,500,000
	1982	22,500,000	*

Program Goals and Objectives:

The purposes of Teacher Corps as stated in the legislation are to strenthen the educational opportunities available to children in areas having concentrations of low-income families, to encourage colleges and universities to broaden their programs of teacher preparation, and to encourage institutions of higher education and local education agencies to improve programs of training and retraining for teachers and teacher aides by --

(1) attracting and training qualified teachers who will be made available to local education agencies for teaching in such areas;

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*Consolidated

(2) attracting and training inexperienced teacher interns who will be made available for teaching and inservice training to local education agencies in such areas in teams led by an experienced teacher;

(3) attracting volunteers to serve as part-time tutors or full-time instructional assistants in programs carried out by local education agencies and institutions of higher education serving such areas;

(4) attracting and training education personnel to provide relevant remedial, basic, and secondary educational training, including literacy and communication skills, for juvenile delinquents, youth offenders and adult criminal offenders; and

(5) supporting demonstration, documentation, institutionalization, and dissemination of the results.

This last goal reflects several significant changes introduced by the Education Amendments of 1976. One major change was extending the two-year grant cycle of previous years to five years. A second was that each Teacher Corps Project will emphasize the demonstration of new programs and practices with linkages between preservice and inservice training and which involve the total faculty of a site school. Typical program elements include flexible models of teacher education based on performance criteria; the development of collaborative decision-making procedures that assure parity to the participating college or university, community served by the project, and local education agency; the development of a community component which seeks to lessen the distance between the institutions and community by providing educational services beyond the school walls and involving parents in the classroom program; the demonstration of a major teacher training framework (CBTE, multidisciplinary, research based, etc.) for the demonstration of an integrated program of training and retraining; and an emphasis on the improvement of management within the cooperating agencies of the delivery of education personnel and retraining services including planning, documentation, institutionalization, and dissemination.

In FY 78 Teacher Corps goals and objectives were expanded to include demonstration of training and retraining programs for all educational personnel in grades K-12, in institutions of higher education, and in communities served by these programs. These demonstration programs are to be implemented over a five-year grant period. Planning to meet this broader, more inclusive mandate began in FY 77 when grants were awarded to 81 projects in FY 78 and to 53 more projects in FY 79. Three were later discontinued.

Program Operation:

Grants are awarded to an institution of higher education and a local educational agency, either of which may be the prime grantee, to cooperatively mount and operate a project which will be managed collaboratively

All Teacher Corps projects are funded through competitive grants to achieve the legislated purpose and the four outcomes using the means specified in the Rules and Regulations and the strategies determined by the project.

Projects funded July 1978 are known as Program 78. New projects funded in 1979 are known as Program 79. There are 79 projects in their fourth year and 5 Program 79 projects in their third year. After Year 1 of each Program, grantees are eligible to have their grants renewed annually for the four subsequent years. After year 3 there will be diminishing levels of Federal funds since institutionalization of the activities using local funds is expected to begin.

The organization structure of the Teacher Corps is as follows: (a) the National Office within the U.S. Department of Education consisting of three Branches -- Management, Operations, and Development; (b) within a project to share information, guide the project, and provide community-based support -- an elected Community Council and a project policy Board (the nucleus on the Board must be the Dean of the IHE, the Superintendent of the LEA and the chairperson of the Community Council); (c) also at the local project level, all components collaborate.

The organization of a typical Teacher Corps project in the field usually includes at least one but not more than four schools (where elementary schools must be Title I eligible) within a feeder system; a team of at least four teacher-interns and one experienced teacher as a team leader; an elected community council having at least seven members; an institution of higher education; a local education agency, and other institutions and agencies such such as correction institutions, teacher organizations, professional association, social service agencies, and students.

Program Scope:

During Fiscal Year 1981, the Teacher Corps had 131 operational projects which included the 79 Program 78 projects and the 53 Program 79 projects. These projects are located in 123 school districts, 130 institutions of higher education, and seven State Departments of Education, including outlying regions and correctional institutions. Teacher Corps projects, through differentiated staffing and individualized instructional activities, directly affected the learning experience of approximately 520,000 children. Projects impacted on special clientele groups such as bilingual children, Indian children, and children in correction institutions. Teacher Corps also supported a special program which encouraged high school and college students, parents and other community residents to serve as tutors or instructional assistants for children in disadvantaged areas. In 1981, approximately 25,780 educational personnel are involved in Teacher Corps projects. Title V-A of the

Higher Education Act, Section 517 prohibits using Teacher Corps members to replace any teacher who would otherwise be employed. There is no provision for waivers of this requirement. Compliance is assured by the Teacher Corps regulations, State approval of the project proposal, and scrutiny by specialists on biannual site visits.

Program Effectiveness and Progress:

In 1978 an evaluation of Teacher Corps was initiated to study the five-year developmental process of the program. Consequently, the evaluation was designed as a five-year effort to correspond with the funding and implementation strategies of the program. A multiple design strategy was adopted requiring the use of traditional evaluation methods as well as case study and ethnographic methods. The first year of the evaluation was a planning year to match the first year of the program. Part of the evaluation activities of the second year included an implementation study of collaboration and multicultural education in Teacher Corps project. The development and multicultural education strategies were required by the legislation governing the Teacher Corps program. The study was initiated to describe (1) the process by which people learn to appreciate and get along in several cultures and (2) the dynamics developed among schools, institutions of higher education, community advisory groups, and other participants involved in designing and implementing Teacher Corps projects. The study utilized ethnographic case study methodology in four Teacher Corps sites funded in 1978.

The major conclusions from the study completed by SRI International are as follows:

o In the projects studied, the participants feel that there is little evidence of a real commitment to multicultural education from the Teacher Corps Washington office. This conclusion is based on several factors. First, there has been little or no monitoring at the project level to ensure that projects comply with the multicultural education mandate. Second, guidance supplied by the Washignton office is given through consultants and through conferences and meetings that do not help local projects implement programs to any significant extent. Third participants feel that program specialists from the Washington office do not have a thorough understanding of multicultural education. Fourth, the extensive use of consultants to define multicultural education diminishes the enthusiasm of local projects to develop site-specific components of multicultural education.

o In all of the study sites, the project director represents the strongest force for influencing reform and introducing new ideas to the university and the school district. However, most of these directors seemed frustrated at not being able to exert this kind of leadership in the project. In reaction to this, it seems as though the project directors over-relied on outside consultants to infuse the projects with new ideas or conceptual definitions. In addition, the project directors were not given a thorough training in multicultural education.

o The most serious impediment to the development of multicultural education programs in the sites studied was the participants' misunderstanding of goals and objectives of multicultural education. Of the participants interviewed and observed, it seems as though no one -- from the Washington staff to the local project staff -- has a thorough understanding of the conceptual basis of multicultural education. This limits their effectiveness in developing and implementing multicultural education components. The local project must overcome the strong resistance to multicultural education components. The local project must overcome the strong resistance to multicultural education that results from the belief that multicultural education is an "add on", a belief which is based on a misunderstanding of its purpose, ignorance of its goals, or racial-ethnic prejudices.

- With the exception of one council, community resources for planning project-wide activities were rarely tapped, although the community residents themselves represented the greatest source of untapped positive energy and commitment. Generally, the community council concerned themselves with the Federal rules and regulations governing the program, needs assessments, management planning, and paper work. They felt some uncertainties about their roles. At times the councils seemed overly concerned with budgetary matters. These activities frequently diverted the council from their potentially greatest role; collaborating in the development of community-based educational programs. In addition, some community council members expressed disappointment and frustration with the formality (observance of parliamentary procedure) with which meetings and tasks were carried out.

- For the most part, opportunities for the community to deal on a face-to face basis with teachers, deans, superintendents, and faculty at institution of higher education were limited to the community chairperson's participation on the policy board. While planning groups often included community-wide membership, attendance and participation at them were sporadic and not as consistent as the attendance and participation at council meetings.

- Policy boards in the four sites ran smoothly because they had a clear set of responsibilities. Most meetings were handled in a formal, business-like manner. Policy board members know they were responsible for a limited number of tasks: setting policy, hiring staff, and approving the budget. In several sites, the dean and superintendent began to share their expertise outside the context of the policy board. They began building a collegial relationship that could last beyond the Teacher Corps cycle.

In those sites where planning groups had problems, there was a noticeable lack of participation of higher education faculty in planning groups. Groups with a clear conception to the purposes of planning and a grasp of the Teacher Corps mandate did not need an entire year for planning. However, groups with a clear notion of the planning mandate seem to have floundered; purposes of Teacher Corps. The lag between the completion of a planning task and the

Ongoing and Planned Evaluation Studies:

actual implementation of proposed activities frustrated some participants. Gaining confidence within a diverse planning group was most difficult. Thus the planning year may produce long lists of need and proposed activities but not enough project strength to carry them out.

Teacher Corps projects began their 5-year grant periods in early Summer of 1978. A comprehensive longitudinal evaluation of the new program was developed by the Office of Program Evaluation and a contract awarded in August 1978 to SRI International for the implementation of the evaluation.

The focus of this evaluation is on Program 78 and Program 79 Teacher Corps projects. The work to be performed required the development of a five-year evaluation design. The initial procurement covered the first three years of evaluation activities. The five-year evaluation was to be conducted in three phases: (1) planning, (2) operations, and (3) analysis and reporting. The period of performance under Phases I and II, Development and Operation, was for 36 months from the date of award. Phase III, Institutionalization and Adaptation was designed to be an option and if exercised, is to have a period of performance of 24 months. Some activities in these phases necessarily overlap. The emphasis is upon what and how the projects tried, implemented, succeeded or failed within the Teacher Corps Program at the local regional and national levels. Because of fiscal constraints the evaluation was limited to the first three years. Three years results are to be submitted by SRI International in October 1981 and are expected to contain some definitive impact statements on teacher training and institutionalization of best practices.

Source of Evaluation Data:

1. Annual operational data collected by the Teacher Corps Program.
2. SRI international, "Teacher Corps: An Implementation Study of Collaboration and Multicultural Education: 1980.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Financial Assistance to Local Education Agencies for the Education of Indian Children - Part A

Legislation:

Indian Education Act
P.L. 92-318, Title IV, Part A

Expiration Date:

September 30, 1984

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	FY 73	$196,177,204	$ 11,500,000
	FY 74	208,000,000	25,000,000
	FY 75	235,000,000	25,000,000
	FY 76	441,242,000	35,000,000
	FY 77	476,263,078	37,000,000
	FY 78	555,000,000	38,850,000
	FY 79	640,297,800	48,000,000
	FY 80	640,297,800	52,000,000
	FY 81	722,214,192	58,250,000

Program Goals and Objectives:

Part A of the Indian Education Act provides financial assistance on an entitlement basis to local educational agencies (LEAs) for elementary and secondary education programs to meet the special educational and culturally related academic needs of Indian children. In addition, a separate authority in the Act allots an amount equal to not more than 10 percent of the amount appropriated for LEAs for discretionary grants to Indian-controlled schools located on or near reservations.

The purpose of the entitlement program is to provide grants to local school systems for (1) planning and other steps leading to the development of programs specifically designed to meet the special educational and culturally related academic needs of Indian children, including pilot projects designed to test the effectiveness of these programs; and (2) the establishment, maintenance, and operation of programs, including minor remodeling of classroom or other space used specifically for such programs, and acquisition of necessary equipment specially designed to meet the special educational or culturally related academic needs of Indian children.

The Part A legislation provides wide latitude to local school districts in implementing their projects. According to federal regulations (187 6a.22), a school district may use Part A funds for "services and activities" designed to meet the special educational or culturally related academic needs, or both, of Indian children.

Projects may focus on basic skill instruction or other academic areas or Indian culture as related to academic skills. All projects are encouraged to use culturally-based materials and techniques in program activities. Examples of permissible activities include:

(a) Remedial instruction in basic skill subject areas.

(b) Instruction in tribal heritage and traditions in the context of meeting academic needs and in Indian history and political organization, including current affairs and tribal relationships with local, State and Federal governments.

(c) Accelerated instruction and other activities that provide additional education opportunities.

(d) Home-school liaison services.

(e) Creative arts such as traditional Indian arts, crafts, music, and dance.

(f) Native language arts, including bilingual projects and the teaching and preservation of Indian languages.

Under the discretionary program, awards are made to Indian-controlled schools to establish such schools or to provide supplementary programs and enrichment services.

Program Operations:

Under Part A of the Act, entitlements or formula grants are made directly to eligible local education agencies (LEAs) and a few schools that are operated by Indian tribes under contract with the Bureau of Indian Affairs. Financial assistance, through competitive discretionary awards, is also given to Indian-controlled schools on or near reservations.

Program Scope:

The number of public school districts participating has increased from 435 in fiscal year 1973 to 1,048 in fiscal year 1981. In school year 1981-82, the Part A program reached almost 290,000 Indian children, an increase of 150,000 since the program started. With the growth in appropriations, both the number of children served and the average contribution per child have increased. In 1973 the Federal contribution averaged $81 per child; in 1981, it was $165.

In fiscal year 1981, 30 Indian-controlled schools served about 12,000 students under the set-aside for discretionary grants.

Projects funded under Part A of the Act range from part-time ancillary services to supplementary basic education and cultural enrichment programs. Activities are determined by the LEAs and elected Indian partent committees based on local needs and population concentration. To ensure that program funds are addressing the special educational needs of Indian children as specified in the legislation, a technical and quality review of applications is conducted by the program office. During the period of project performance, as program administration resources permit, site visits are made to selected project sites and technical assistance is offered to projects requesting it. Project assistance in staff training, project management skills, curriculum development and special conferences as needed are provided by five regional Resource and Evaluation Centers.

Program Effectiveness and Progress:

A national descriptive study of projects funded under Part A was completed in November, 1978.

This study was performed by Communication Technology Corporation of Marlton, New Jersey under contract (300-76-0397) to the U.S. Office of Education's Office of Evaluation and Dissemination. The principal findings of the study are as follows:

- The national program can be described as a collection of projects of widely divergent size, geographic locale, and goals. Sixty-two percent of the projects emphasize instruction in culture, heritage and native language. Emphasis upon remedial reading was found in 58 percent of the projects. The next three most frequently stated objectives were: (1) counseling and guidance (56%); (2) enhancing self-concept (54%); and (3) changing attitudes toward school (51%). Other predominant objectives were to increase school attendance (47%); to enhance self-direction and a sense of responsibility (46%); and remedial mathematics (46%). Most of the objectives seem to be evenly distributed across the ubran - rural spectrum.

- Reading programs, mathematics programs, cultural heritage programs, and counseling and guidance programs were perhaps not surprisingly rated effective by project directors and project staff in approximately 90 percent of the sampled districts in: (1) overcoming Indian students' academic difficulties; (2) improving Indian student's attitudes toward school; and (3) developing more favorable self-concepts in Indian students.

- Factors, reported by school districts, as contributing to educational problems of Indian children in order of frequency reported were: (1) adverse home environment (74%); (2) lack of motivation (69%); (3) deficient early education (69%); (4) negative peer group influence (64%); (5) nutritional problems (50%); (6) ethnic discrimination (48.8); and (7) health problems (45%).

- Seventy-five percent of project funds at the local level was directed toward staffing. This was an expected finding since this same percentage of projects are more than one year old and do not have the higher expenditures of a new project for materials, etc.

- Staff involvement, which was much more prevalent in urban high density districts (above 20,000) than in rural high and low density districts, was concentrated in reading, mathematics, native language and cultural heritage, counseling and guidance, attendance, self-concept, responsibility and self-direction, and attitude toward school.

- Generally, the parent committees were involved in a wide range of policy and managerial activities: staffing recommendations, public relations, proposal development, budget review, conduct of needs assessment, proposal review and final report review, curriculum decisions, pupil selection, establishment of project objectives, project monitoring, project evaluations, and final report development.

- The parent committees were generally not involved in assisting with instructional activities. More than 70 percent of the districts used the parent committee in proposal development. Also, roughly half of the districts reported parent committee involvement in selection of pupils.

- Projects in which parent organizations were involved were rated effective in helping Native American pupils to overcome academic difficulties, improve their attitude toward schools, and develop a favorable self-concept. The majority of parent committee involvement was in the areas of providing staffing recommendations, proposal review and development, budget review, needs assessment, establishment of objectives, project monitoring and evaluation, and final report preparation.

- Projects in urban districts tended to be rated more effective in overcoming academic difficulties and providing supplementary services. This may be partially attributable to the organized approach taken toward the administration of funds and the sophistication of the staff. Staff time spent on projects is somewhat greater in urban districts than in rural districts.

- Rural high density districts were rated the next most effective in overcoming academic difficulties and providing supplementary services. This may be due to the larger number of children available for project enrollment and the resulting higher funding level.

- The staff and parents rated 75 percent of the districts as being at least moderately effective in overcoming academic difficulties, providing supplementary services, improving attitudes toward school and developing a more favorable self-concept. Also, 50 percent of projects were rated effective by the staff and parents in improving staff attitudes toward Native American pupils and improving non-Native American pupil attitudes toward Native American pupils.

- The data analyzed revealed that, in the vast majority of the districts, there were staff involvement and program improvement in the areas of academic achievement, Native-American language and cultural heritage, counseling and guidance, attendance, self-concepts, responsibility and self-direction, and in attitudes toward school.

Ongoing and Planned Evaluation Studies:

A major study to evaluate the impact of the Part A Entitlement Program was started in 1980. The study is designed to address eight major research questions. They are as follows:

- What are the organizational, fiscal, and human resources available to Part A projects, and how do projects utilize these resources?

- To what extent do the objectives of projects funded under the Part A Entitlement Program address the special educational and/or culturally related academic needs of American Indian/Alaska Native children?

- How have Part A project activities been implemented?

- What are the impacts of Part A projects on American Indian/Alaska Native students?

- What impacts do Part A projects have on the Parents of American Indian/Alaska Native children and on the American Indian/Alaska Native communities projects serve?

- What impacts do Part A projects have upon their LEAs?

- How do federal-level activities, especially those of the Office of Indian Education, affect Part A projects?

- What is the total amount of federal education funds expended by local school districts on Indian students in grades k-12 and how many of these students are receiving various types of special services?

Sources of Evaluation Data:

A National Evaluation Survey of Projects Funded Under Title IV, Part A of the Indian Education Act of 1972. (Contract #300-76-0397), November, 1978).

Program Audits

For further information about program operation,

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Improvement of Educational Opportunities for Indian Students - Part B

Legislation:

Indian Education Act
P.L. 92-318, Title IV, Part B

Expiration Date:

September 30, 1984

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	FY 73	$ 25,000,000	$ 5,000,000
	FY 74	35,000,000	12,000,000
	FY 75	35,000,000 1/	12,000,000
	FY 76	35,000,000 1/	16,000,000
	FY 77	37,000,000 1/	14,080,000
	FY 78	37,000,000 1/	14,400,000
	FY 79	45,000,000 1/	15,500,000
	FY 80	45,000,000 1/	15,600,000
	FY 81	45,000,000	14,500,000

Program Goals and Objectives:

The law indicates that its purpose is to authorize discretonary grants to Indian tribes and organizations, State and local educational agencies, and institutions of higher education for use in special programs and projects to improve educational opportunities for Indian children. These include (1) planning, pilot, and demonstration projects designed to test and demonstrate the effectiveness of programs for improving educational opportunities for Indian children, such as bilingual/bicultural educational programs and programs dealing with special health, social, and psychological problems of Indian children; (2) establishment and operation of programs designed to stimulate the provision of educational services not available to Indian children in sufficient quantity or quality; (3) preservice and inservice training programs to improve the qualifications of persons serving Indian children, such as teachers, teacher aides, social workers, and other educational personnel; (4) a fellowship program for Indian students pursuing degrees in medicine, law, education, business administration, engineering and natural resources, and (5) establishing resource

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1/ In addition to the authorized amount, up to 200 new fellowships can be awarded each year. See program scope section for actual awards and areas of fellowship awards.

and evaluation centers designed to provide specialized technical services to grantees, evaluate the effectiveness of programs, and disseminate information on successful practices.

Long-Range program goals of Part B are to improve educational opportunities for Indian students from preschool through the university level by supporting programs that:

(a) Provide improved educational services
(b) Increase the number of Indians in leadership positions
(c) Develop new educational approaches of high quality
(d) Contribute to increased control by Indians over the availability and quality of their own education.

Immediate goals of the Part B program are to:

(a) Fund demonstration and service projects in areas identified as priority by the Indian community, such as early childhood education, special education, counseling and guidance, and alternative schools.

(b) Support technical assistance efforts on a national scale through a network of educational resource and Evaluation Centers.

(c) Continue to provide educational personnel training and fellowships in designated professional fields to improve qualifications of Indians and develop leaders in the Indian community.

Program Operations:

Grant awards for demonstration, service, and education personnel training; fellowship awards to graduate and undergraduate Indian students in selected professional degree areas; and contracts for the regional technical resource centers are made on the basis of national competition. Eligible applicants for the demonstration program include State and local education agencies, federally supported schools for Indian children, and Indian tribes, organizations, and institutions. Eligible applicants for service projects include State and local educational agencies and tribal and Indian community organizations. Eligible applicants for educational personnel training projects are Indian tribes and organizations, institutions of higher education, and State and local education agencies in combination with institutions of higher education. Eligible applicants for the fellowships are Indian students.

In approving applications under Part B, preference is given to Indian tribes, organizations, and institutions, as required by law. Implementation of this provision has resulted in no awards being given to other types of organizations, with the exception of higher education institutions applying for educational personnel development grants.

Each type of program has an associated set of criteria for grant selection. Demonstration projects require that applicants include evidence that their projects are likely to serve as models for others and have more elaborate plans for evaluation. Annual priority areas may be selected by the Secretary. Selection criteria for service projects give considerable weight to the lack of comparable services in the area and to the degree of need. Educational personnel training projects must show commitment to Indian education. Fellowship applicants are evaluated on the basis of financial need, academic record, other evidence of potential success, and likelihood of service to Indians on completion of the program.

Program Scope:

In 1981, 195 Part B applications were received and 70 grants were awarded. The approved projects dealt with the development of bilingual/bicultural programs, instructional materials and media centers, compensatory education, cultural enrichment, dropout prevention, and vocational training. In addition, 196 fellowships were awarded to students attending 85 institutions in 34 States and the District of Columbia. The awards were made in the areas of medicine, law, education, business administration, engineering, and natural resources.

Five technical resource centers were funded in 1981 to provide technical assistance to all projects funded under Title IV. Centers conduct workshops with project staff and parent groups in their region to improve project management, including needs assessment and evaluation activities.

Program Progress and Effectiveness:

Programs funded during FY 1979 were examined in a recently completed study of "The Impact of Programs and Projects funded under Parts B and C of the Indian Education Act." Programs were funded under three major categories provided by the Act: Planning, Pilot and Demonstration, Educational Services, and Educational Personnel Development.

Planning, Pilot and Demonstration Programs: Early childhood education, career development and curriculum development made the greatest impact of the eight program types funded under this authority, according to the study. Innovative programs in special education and counseling, however, should still continue to have high priority.

Some programs have less discernable impacts than others, because of the severity of the problems in the communities where Part B projects are located. For example, analysis shows that Part B projects made their greatest impact in settings which had a large percentage of Indians, a large percentage of unemployed but had a low percentage of persons with bilingual needs and a low percentage of persons under the poverty level. (Since all reservations have a higher percentage of persons unemployed than non-reservation settings, the unemployment level becomes a confounding factor across all data). However, the low percentage of persons with bilingual needs and the low percentage of poverty probably represents settings where the needs are not too severe to overcome with the small-scale sized of programs generally funded udner this authority. Potentially the bilingual needs and the poverty levels within the settings indicates the need of improved supportive services.

Strong community support appeared to be the most powerful factor associated with impact. The presence of culturally relevant materials and the cooperation of the local school were factors associated with academic areas of impact. Indian staff was directly associated with the impact in areas of self-concept, attitudinal and cultural measures of impact.

Educational Services. These are primarily supplemental or alternative programs designed to provide services, such as remedial education, school health and psychological services to encourage Indian children to enter, remain in, or re-enter school at k-12 levels. Projects are funded in locations where educational needs are being met in sufficient quantity or quality. These programs often do not appear to be uniquely different from Pilot programs.

Most of these programs are located in communities where three-quarters or more of the population is Indian. Seventy-four percent of the project directors are Indian and 87 percent of the staff were Indian.

Educational services projects were generally multicomponent projects which were targeted at a specific population, such as early childhood or special education, but also included projects with bilingual/bicultural, career development, counseling and curriculum development projects or part of a comprehensive educational model.

Major project accomplishments included: participation and involvement of the community increased, basic skills of participants improved, curriculum and culturally related materials were developed and disseminated, participants' attitude toward school and motivation to achieve improved and facilities in which projects were conducted were improved. Types of services reported effective include: early childhood, curriculum development, comprehensive education model and special education projects.

> Educational Personnel Development Projects. During FY 1979, sixteen grants were awarded to colleges and universities and Indian tribes and organizations to train professionals and nonprofessionals to improve the quality of education for Indian students. This type of program is, by nature, diffitult to assess. However, based on readily available information, the projects appear to meet their intended objectives. Tribal grantees arrange with colleges and universities to provide course work for Indian students who attend classes and work in the reservation community. In FY 1979, about one-half the fellowship students worked toward graduate degrees.

Of those participating in the programs in FY 1979, 180 received college diplomas or advanced degrees. As a result of participation in the programs, 190 were reported to have upgraded their jobs in education settings. Sixty-two assumed leadership positions such as principals, superintendents, community college or university officials. In addition 186 teachers were observed to have significantly improved their abilities to teach Indian children and 109 teacher aides upgraded their qualificiations.

Preliminary findings of a study to track students participating in the Indian fellowship programs indicates that 62 percent of those students who were tracked in the program from 1976 through 1979, obtained degrees. This compares favorably with the 54 percent national dropout rate for college freshmen, according to Native American Research Associates (NARA). Although the program imposes no contractural obligations on the fellows to use their training in service to Indians, 60 percent of the responding participants are working for Indian tribes, organizations and communities.

Sources of Evaluation Data:

Impact Study of Parts B and C of the Indian Education Act, Communications Technology Corp., 1981

Study to Track Participants in the Higher Education Programs Funded by the Office of Indian Education, Native American Research Associates, 1981.

Program Review Materials.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Special Programs Relating to Adult Education for Indians - Part C

Legislation:	Expiration Date:
Indian Education Act Public Law 92-318, Title IV, Part C	September 30, 1984

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	FY 73	$ 5,000,000	$ 500,000
	FY 74	8,000,000	3,000,000
	FY 75	8,000,000	3,000,000
	FY 76	8,000,000	4,000,000
	FY 77	8,000,000	4,200,000
	FY 78	8,000,000	4,410,000
	FY 79	8,000,000	5,930,000
	FY 80	8,000,000	5,830,000
	FY 81	8,000,000	5,430,000

Program Goals and Objectives:

The purpose of Part C is to improve educational opportunities below the college level for Indian adults. Authorized activities include: service projects that provide basic education, secondary education and preparation for the G.E.D., and career counseling; demonstration projects designed to test and demonstrate the effectiveness of programs for improving employment and educational opportunities for adult Indians; research and development projects to develop more innovative and effective techniques; surveys to determine the extent of illiteracy and lack of high school completion in the Indian community; and dissemination and evaluation projects.

The long-range goal of Part C is to substantially reduce illiteracy and improve educational and employment qualifications among Indian adults. Immediate objectives include: (a) Increase the number of Indian adults who are basically literate or who obtain a high school equivalency diploma (G.E.D.) through service projects based in the Indian community; (b) Develop new approaches which are relevant to the culture and heritage of Indian adults in demonstration projects; and (c) Determine the extent of illiteracy and undereducation in the Indian community and identify current resources at the Federal and State levels directed to those problems.

Program Operations:

Part C awards are made annually on the basis of national competition. Projects may be supported up to three years in length, subject to availability of funds and satisfactory performance. Eligible applicants include Indian tribes, organizations, and institutions and State and local education agencies. Under Part C, preference in selection of applications must be given to Indian organizations and institutions. Implementation of this preference has resulted in no awards being given to other types of organizations.

Program Scope:

In FY 1981, 104 applications were received under Part C and 49 awards were made. About 15,416 Indian adults will be served in the projects. Most projects address a full range of services, including basic education, preparation for the G.E.D., counseling, and support services to enable adults to attend the program, such as assistance with transportation and child care. Some projects offered components in the areas of consumer education or vocational education.

Program Progress and Effectiveness:

Adult education programs funded under Part C enrolled 17,054 participants in FY 1979. Data about who these enrollees are and what happened to them are reported in the recently completed study of the "Impact of Projects Funded under Parts B and C".

The study indicates that 39 percent of the adults in these programs had not progressed beyond elementary school. Fifty-three percent had at least some high school education and 3 percent had been to college. Five percent had never attended school before participations in the project. One-third reported that they spoke a language other than English. Most enrolled to upgrade their educational level and to improve their chances to get a job.

Evidence from the study indicates that adults have had positive accomplishments as a result of their participation in the program. During FY 79, 72 percent of those enrolled in Adult Basic Education programs funded under Part C completed the project and improved basic education skills. Of those students enrolled in G.E.D. activities, 28 percent or (984) received their G.E.D. and, of these, 422 (or 43 percent) attained better jobs because of their successs in completing the G.E.D. Of those adults enrolled in activities leading to postsecondary education, 180 or (24 percent), went to college and 203 (or 24 percent) continued in another type of postsecondary program. (These figures may be higher because projects were not always able to provide complete follow-up data).

While projects are designed to meet local needs as identified by Indian adults, school administrators and staff, tribal leaders and others, the most frequently reported needs include vocational development and job training (which is not allowable under Part C). Other needs frequently mentioned: remedial reading and mathematics; opportunities for educational advancement; history of Indian/tribal culture; consumer education; self-concept development and health care.

While the Part C projects may be making some progress on literacy levels, educational attainment levels and English proficiency levels, the continuing problem is unemployment as one third (33 percent) of the Indian communities report the unemployment levels of the total labor force in these communities as over 50 percent.

Seventy-four percent of the project directors were Indian and 70 percent of staff interviewed were Indian. The factor of Indian origin correlates highly with the ability of projects to increase participant enrollment and a corresponding decrease of participant attribution. Other key variables include culturally relevant curriculum and materials, and community and tribal participation and support.

Sources of Evaluation Data:

An Impact Study of Parts B and C Programs and Projects Funded Under Title IV, The Indian Education Act. Communication Technology Corporation, April 1981.

Program Review Materials

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Alcohol and Drug Abuse Education

Legislation:

The Alcohol and Drug Abuse Education Act of 1974 and Amendments of 1978, Public Law 95-336

Expiration Date:

September 30, 1981

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1971	$ 10,000,000	$ 5,610,000
	1972	20,000,000	12,400,000
	1973	28,000,000	12,400,000
	1974	28,000,000	6,700,000
	1975	26,000,000	4,000,000
	1976	30,000,000	2,000,000
	1977	34,000,000	2,000,000
	1978	34,000,000	2,000,000
	1979	10,000,000	2,000,000 1/
	1980	14,000,000	3,000,000
	1981	18,000,000	2,850,000

Program Goals and Objectives:

The principal purpose of the program as defined by the authorizing Act is to help schools and communities assess and respond to alcohol and drug abuse by becoming aware of the complex nature of the problems, and to prepare them for developing strategies aimed at its causes rather than merely its symptoms. The program strongly encourages a coordinated school-community effort in preventive education with an emphasis on reducing the socially disruptive behaviors often associated with abuse.

In addition to the goals and objectives specified in the legislation, the following statement of goals further specifies the program's purpose: Goal 1 -- to identify, demonstrate, evaluate, and disseminate effective strategies for alcohol and drug abuse prevention, and Goal 2 -- to train teams of school administrators, teachers, counselors, parents, students, law enforcement officials and other public service and community leaders to prevent or

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1/ Same funding level as 1978, according to Continuing Resolutions, P.L. 95-482.

reduce destructive behavior associated with alcohol and drug abuse. The program is, therefore, primarily a training and demonstration program, through which local agencies provide direct services to youth.

Program Operations:

This program is authorized to make grants and contracts for a wide variety of activities which can be generally categorized as preventive education. Currently, the bulk ($2,680,000) of program funds supports five regional training resource centers. The remaining funds support a National Data Base and Program Support project and an evaluation of the program.

Through the regional training centers, the School Team Approach program is implementing a strategy which it describes as "teams training teams." It is hoped that the strategy will achieve a multiplier effect through a two-step process: (1) Teams are trained in "clusters" rather than in geographically unrelated groups. (A geographically related cluster is comprised of a team from a high school joined with teams representing the elementary, middle, and/or junior high schools feeding into that high school.) (2) Then, the most impressive trainees in these clusters become, through further training and on-site technical assistance, new trainers for other schools and groups of schools in their district or community, while continuing to receive some technical assistance from the Federal program.

Program Scope:

In recent years the program has restricted its support primarily to training, technical assistance, and dissemination through the five regional centers.

Program Effectiveness and Progress:

From a recent survey of ten communities throughout the United States, school-based Alcohol and Drug Abuse Education Program (ADAEP) teams report that:

- Student drug and alcohol use continues to be a major school problem.
- There are some indications that the prevalence of this use has peaked.
- School prevention programs should include peer activities and problem-solving techniques in addition to educational approaches.

- The school team approach is a useful model for implementing program activities.

Working with teachers, students, and school administrators, the teams also report improvement in student deportment, student-teacher relationships, and relationships between teachers and their colleagues.

This survey of ten school districts with cluster teams which were initiated in 1977-78 and of all the cluster team members trained in that fiscal year was conducted in response to a Congressional mandate to evaluate the ADAEP program of the U.S. Department of Education.

Clusters consist of teams of five persons from four organizationally-related schools; for example, a high school and three feeder schools. Forty-nine clusters and 173 school teams comprised the programs funded by ADAEP in the 1977-78 school year.

The team members expressed their opinions concerning the team and cluster approach, and about their experience as a team member. The most frequently mentioned advantages were: team members are first-hand problem-solvers; the cluster approach provides unity and support across the school system. The most rewarding experience as a team member is working with the team members; the most frustrating experiences approve of the concepts of the team and cluster and support the continuation of the approach.

Most of the coordinators reported that the member teams functioned autonomously rather than as one large group. There appeared to be more identification with the school team than with the cluster.

Respondents agree on the top five student problems: truancy/tardiness, low achievement, disrespect for teachers, cigarette smoking, drug use, and alcohol use. The respondents also listed these problems as focal points of team activity. Cluster coordinators reported that there had been efforts to assess the extent of alcohol and drug use by students in eight out of ten of the schools. The assessment activities were usually conducted by some other group, and the sophistication of the studies varied.

From a list of thirty-five items which might be included in a drug and alcohol prevention program, there was unanimous agreement by the administrators concerning the appropriateness of eleven activities. These were assettiveness training, development of plan for prevention programs, interpersonal relationships, leadership skills, positive discipline, referrals/resources for juvenile problems, self-awareness/self-control building, self-esteem/self-worth building, special programs for target groups, values clarification, and identification of student drug use.

To a question concerning opinions about appropriate school roles in drug and alcohol abuse prevention, the responses varied. Peer programs, development of affective skills, and problem-solving technicques were the most frequent answer. Counseling and referral programs and identification of problem youth were mentioned. Working with parents and others in the community was seen as appropriate by about ten percent of the respondents. A variety of other activities related to school environment and discipline were suggested. Nearly a fourth of the participants did not respond to the question.

It appears from the analysis of study responses sthat there were identifiable improvements in some school characteristics during the period the study. Teacher-related characteristics -- teacher interaction, communication among teachers and staff, and teacher administrator relationships -- were defined as improved. Student deportment, student-teacher rapport, and disciplinary policies were seen as improved by the active team members.

It is difficult to ascertain whether improvement in classroom environment, in method used, or in teacher-problem student relationships are due to cluster team activities. Although a significant number of teachers reported changes during the past three years, only a small percentage of the respondents ascribed the changes to the ADAEP team activities.

Alcohol beverage use among high school students is common, according to authoriative studies. This use is perceived to be causing problems among students by slightly less than half of the total number of study respondents. Although the percent of respondents perceiving an increase in alcohol use by young people was about equal to those who perceived no change, the national data indicate that use by seniors has leveled off at about eighty-eight percent during the past year. Drug use response patterns were similar to those related to alcohol use. A majority of respondents express the opinion that drug use is a problem in their schools. Most respondents viewed the extent of the problem as remaining constant. Individual clusters in general did not show much success in abating problem associated with drug and alcohol use. One cluster reports a decrease in both alcohol and drug abuse problem. Two clusters reported a decrease in drug problems only.

Premise of the ADAEP program is: local problems require local solutions using local resources. RTC activities are intended to assist teams from schools to identify their schools' problems and resources, to develop plans which address the problems, and to develop the necessary skills to implement these plans.

Ongoing and Planned Evaluation Studies:

A major multi-year evaluation by the Social Action Research Center of an interagency program conducted jointly with the Law Enforcement Assistance Administration to prevent and reduce school crime and violence found that the School Team Approach, when implemented effectively, can contribute to the reduction of school crime and disruption. The evaluation was begun in 1977 and impact data are expected in August of 1982.

Sources of Evaluation Data:

Primary Sources

"Universe Survey of FY 1974 HCHT Teams," E.H. White and Co., San Francisco, September 1975.

"An Evaluation of the School Team Approach for Drug Abuse Prevention and Early Intervention," American Institutes for Research, Washington, D.C., 1976.

House of Representatives Report No. 95-884, February 16, 1978.

"The School Team Approach Phase @ Evaluation," Social Action Research Center, San Rafael, California, January 1981.

"An Impact Study of Personnel Trained by the Alcohol and Drug Abuse Education Program," A.T. Kearney, Inc., Alexandria, Virginia, May 1981.

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Program Name:

Ethnic Heritage Studies Program

Legislation:	**Expiration Date:**
Elementary and Secondary Education Act of 1965, Title IX, Part E, as amended under Public Law 92-318, Public Law 93-380, and Public Law 95-561.	September 30, 1984

Funding History:

Year	Authorization	Appropriation
1974	$15,000,000	$2,375,000
1975	15,000,000	1,800,000
1976	15,000,000	1,800,000
1977	15,000,000	2,300,000
1978	15,000,000	2,300,000
1979	15,000,000	2,000,000
1980	15,000,000	3,000,000
1981	15,000,000	2,250,000

Program Goals and Objectives:

This program provides opportunities for students to learn about their own cultural heritage and to study the cultural heritages of the other ethnic groups in the Nation. The purpose is to recognize the contributions of ethnic groups to American society, encourage mutual understanding, cooperation, and ethnic cultures, and reduce social divisiveness.

Each project assisted under this title shall--

(1) develop curriculum materials for use in elementary or secondary schools or institutions of higher education relating to the history, geography, society, economy, literature, art, music, drama, language, and general culture of the group or groups with which the program is concerned, and the contributions of that ethnic group or groups to the American Heritage; or

(2) disseminate curriculum materials to permit their use in elementary or secondary schools or institutions of higher education throughout the Nation; or

(3) provide training for persons using, or preparing to use, curriculum materials developed under this title; and

(4) cooperate with persons and organizations with a special interest in the ethnic group or groups with which the program is concerned to assist them in promoting, encouraging, developing, or producing programs or other activities which relate to the history, culture, or tradition of that ethnic group or groups.

Program Operations:

The program authorizes grants and contracts to public and private non-profit educational agencies, institutions, and organizations to assist them in planning, developing, and operating ethnic heritage studies programs.

Projects which are proposed for funding by the grant must be planned and carried out in consultation with an advisory committee that is representative of the ethnic group or groups with which the program is concerned. Project activities include curriculum material development, training, dissemsination of materials, and cooperation with etnhic groups in the community served by each project. Emphasis will be placed on multi-ethnic endeavors that draw upon the cultural pluralism of the cultural pluralism of the community.

In carrying out this title, the Secretary makes arrangements which utilize (1) the research facilities and personnel of institutions of higher education, (2) the special knowledge of ethnic groups in local communities and of foreign students pursuing their education in this country, (3) the expertise of teachers in elementary and secondary schools and institutions of higher education, and (4) the talents and experience of any other groups, such as foundations, civic groups, and fraternal organizations, which would further the goals of the programs.

Funds appropriated to carry out this title may be used to cover all or part of the cost of establishing and carrying out the programs, including the cost of research materials and resources, ethnic group, and academic consultants, and training educational and community resource persons for the purpose of carrying out the purposes of this title. Such funds may also be used to provide stipends (in such amounts as may be determined in accordance with regulations of the Secretary to individuals receiving training as part of such programs, including allowances for dependents.

Program Scope:

In FY 1974, 42 projects were funded with an average award of $56,000. During FY 1975, 49 grants averaging $39,000 were made in support of programs in 32 States and the District of Columbia. During FY 1976, 49 grants averaging $37,000 were funded in 32 States, the District of Columbia, and the Trust Territory of the Pacific Islands. In FY 1977, 64 grants averaging $36,000 were funded in 36 States, the District of Columbia, Virgin Islands, and Puerto Rico. In FY 1978, 56 grants averaging $40,000 were awarded in 28 States, the District of Columbia, and American Samoa.

In FY 1979, 48 grants averaging $41,600 were awarded to 22 States, Guam, and the District of Columbia. In FY 1980, 58 grants averaging $51,700 have been awarded to 22 States and Territories. In FY 1981, 22 grants averaging $77,000 have been awarded to 20 States and the Virgin Islands. In addition, 5 contracts totalling $563,316 have been let.

In FY 1982, it is anticipated that the program will be phased into block grants to the States.

Staffing for this program consists of 7 positions: program director, administrative assistant, 3 program officers, secretary, and a clerk-typist.

1981 Workload Data

Total Program allocation	$2,250,000
Number of grants	22
Average award	$ 77,000
Number of contracts	5
Amount of contract	$ 563,316
Ethnic groups served --	62

Grant dollar total	$1,695,228
Number of awards	22
Average award	77,000
For training:	
Dollar total	$ 346,820
Number of awards	3
Average award	115,600
For curriculum development:	
Dollar total	$ 326,091
Number of awards	6
Average award	62,500
For dissemination:	
Dollar total	$ 61,506
Number of awards	1
Average award	61,506
For training and dissemination:	
Dollar total	$ 248,696
Number of awards	3
Average award	82,900

For training, curriculum development and dissemination:

Dollar total	$ 335,600
Number of awards	5
Average award	67,100

For curriculum development and dissemination:

Dollar total	$ 315,717
Number of awards	4
Average award	78,900

Program Effectiveness and Progress:

Each project contains a self-assessment in terms of constant review and professional criticism, as well as feedback from teachers and students and members of the community's ethnic groups. In addition, an impact evaluation plan consisting of one pre-test and post-test approach is, an essential element of each project.

With more states requiring the teaching of ethnic studies in the schools, there are indications of wider acceptances of ethnic programs, particularly in the concentrated multi-ethnic areas of the country. California, Illinois, Ohio, Pennsylvania, New York, and Michigan are requiring multicultural or ethnic heritage studies statewide. At least 34 States already have provisions supporting multicultural education in some aspects.

The present program has increased its emphasis on training and major portion of financial support is in this area. With the advent of training as a major consideration, the materials already developed under the Title IX Ethnic Heritage Studies program will receive wider dissemination and utilization.

Since 1974, over 300 projects have been funded that have developed curriculum materials featuring 71 different ethnic groups. Approximately 1,800 items were developed by the projects, 870 items are audiovisuals including cassett or audio tapes, videotapes/cassettes, slide programs, filmstrips, 16mm. films and records. Nine hundred items are printed materials to be used as teacher resources, bibliographies, curriculum guides, study units, teacher guides, and background readings, student materials, or teacher-training resources. Other materials include kits, and artifacts, posters, activity cards, games, data banks, computer files, transparencies, greeting cards, study prints, and traveling exhibits.

Subject areas in which ethnic studies developed program materials can be used vary widely from art to physical education; almost half (46 percent) of these materials, however, are in social studies and related areas.

Slightly more than a fourth (28 percent) are in the humanities and related areas. The two areas of social studies and humanities comprise 74 percent of the program developed materials. The balance (26 percent) comprise a wide range of subject areas.

Ongoing and Planned Evaluation Studies:

A study began in FY 1981 to assess the materials produced by 300 ethnic heritage projects. Specific purposes of the study are as follows:

(a) Appropriateness of materials for use in learning situations. These criteria will be discrete for student materials, teacher resources, and teacher training materials.

(b) ethnic authenticity of materials content.

(c) technical quality of production and potential for duplicating of print and non-print materials.

Sources of Evaluation Data:

Program information and Progress Reports from projects, and an Assessment of the First Year of the Ethnic Heritage Studies Program, a report published in 1977 and prepared under a Title IX Elementary and Secondary Education Act Grant awarded by the Ethnic Heritage Studies Branch of the U.S. Office of Education to the National Education Association in 1976.

For further information about program operations,

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For further information about studies of program effectiveness,

Contact: Edward Rattner, 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Program for the Gifted and Talented

Legislation:	**Expiration Date:**
P.L. 95-561, Title IX, Part A	June 30, 1983

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1975	Commissioner's S&E	$ 50,000
	1976	$ 12,250,000	2,560,000
	1977	12,250,000	2,560,000
	1978	12,250,000	2,560,000
	1979	25,000,000	3,780,000
	1980	30,000,000	6,280,000
	1981	35,000,000	5,652,000
	1982 1/		

Program Goals and Objectives:

The purpose of this program is to provide special educational services to gifted and talented children.

The program objectives specified by the regulations are:

A. The development and dissemination of information, ideas or practices that enhance the education of gifted and talented children.

B. The awarding of grants to State and local educational agencies for the planning, development, operation, and improvement of programs and projects designed to meet the special educational needs of the gifted and talented at the preschool, elementary, and secondary school levels.

C. The awarding of grants to State and local education agencies for training personnel engaged or preparing to engage in educating the gifted and talented or supervisors of such persons.

1/ Most of this program has been included in the new consolidated block grant legislation.

D. The awarding of grants to institutions of higher education or other appropriate nonprofit agencies for training leadership personnel (including internships) in the education of the gifted and talented.

E. The awarding of contracts with public and private agencies for the establishment and operation of model projects for the identification and education of the gifted and talented.

Program Operation:

The total appropriation for the Program for the Gifted and Talented is divided between the State Administered Grant Program and the Discretionary Grant Program with State Administered Grants receiving 75% and Discretionary Grants getting 25%.

The State Administered Grants distribute 90% of their funds to Local Education Agencies (LEAs), who in turn use 50% of those monies on education projects serving disadvantaged children. The remaining 10% of the State-Administered Grant money is used by the State for the administration of the program.

Under the State administered Grant Program the law requires that each State that applies receives a minimum grant of $50,000. Until the appropriation reaches $15 million, any additional funds available above this $50,000 level are provided to States on a competitive basis. At the 1981 level of $5,652,000, State compete for an additional $60,000 - $90,000, about 25 States and Territories receive this additional funding, while the remaining 32 States and Territories receive the minimum $50,000.

The Discretionary Program which is managed at the Federal level, uses the remaining 25% of the total appropriationto support State planning and development activities, professional development, research, information services, and model demonstrations.

Program Scope:

Due to the continuing resolution for the FY 1981 budget the Office of Gifted and Talented (OGT) has been unable to fund any new projects for 1981. Instead, OGT has continued its efforts regarding the activities of 1980, i.e., program for Minimum Grants. OGT's 1980 activities included awards for 78 grants, Professional Development, model projects and the State administered program for

Minimum Grants. OGT's 1980 activities included awards for 78 grants and 13 contracts involving the following activities:

1. State-Administered Program Grants. A total of $4,710,000 (75% of the total appropriation) used to fund State educational agencies (SEAs) under the State-Administered program.

   The SEAs use at least 90% of these funds to support local educational agency projects. Of the total amount, $2,850,000 was awarded to 57 States and territories for basic grants of $50,000. The remaining $1,860,000 was awarded to approximately 25 SEAs on a competitive basis.

2. Model Projects. Eight model projects were supported in 1980, which includes 4 new awards and 4 continuations. Some of these projects focus on the identification of minority and disadvantaged students who are gifted and talented in the visual and performing arts of science and mathematics, while the other projects focus on special target populations and specific content areas.

3. Professional Development. In order to strengthen leadership in the field of gifted and talented education and provide the teachers, administrators, supervisors, and other leadership personnel needed in this field, nine grants (8 new and 1 continuation) were awarded in 1980 for a total of $765,000. These projects include graduate degree training grants and leadership development grants.

4. Statewide Activities Grants. Approximately $300,000 support 10-15 new grants to SEAs for statewide planning, development, operation and improvement of program and projects designed to meet the educational needs of gifted and talented children. These grants provide SEAs with resources to develop comprehensive State-wide programs, such as providing State coordinators of gifted and talented programs, with a special priority for conducting in-service training programs.

5. Research and Evaluation. One contract for approximately $80,000 was awarded to determine methods for identifying and serving gifted and talented children.

Program Effectiveness and Progress:

During previous years information on the progress of this program has not been that required filing a standarded status report or by available, except for annual performance/financial reports.

Assessment of the program was begun in January, 1981 had a systematic study of the program.

Ongoing and Planned Evaluation Studies:

In December, 1980, the U.S. Department of Education awarded a contract to the American Institutes of Research (AIR) in Palo Alto, for an Evaluability Assessment (EA) for the Program for the Gifted and Talented (OGT). An EA is an analysis of a given program for the purpose of strengthening the program's management and for providing a foundation for future evaluation. The products produced by the contractor and the assessment team during this EA are designed to help the program manager in different ways.

The EA products should provide the program manager with useful information regarding whether the intended program objectives are plausable and measurable. Additional information should also be provided which identifies management options likely to lead to program improvement. Other types of information that are often generated by an EA include: (1) an agreed-upon program description including objectives, activities, and anticipated outcomes, (2) possible measures of program performance, and (3) suggestions for measuring accomplishments.

Sources of Evaluation Data:

Evaluability Assessment of the Program for the Gifted and Talented, American Institutes for Research, Palo Alto, California, (estimated completion date, October 1991).

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B.

EVALUATION OF BILINGUAL AND MINORITY AFFAIRS

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Bilingual Education

Legislation:

Bilingual Education Act -- Title VII of the Elementary and Secondary Education Act of 1965, as amended by P.L. 95-561.

Expiration Date:

September 30, 1983

Funding History:	Year:	Authorization:	Appropriation:
	FY 68	$ 15,000,000	$ -0-
	69	30,000,000	7,500,000
	70	40,000,000	21,250,000
	71	80,000,000	25,000,000
	72	100,000,000	35,000,000
	73	135,000,000	45,000,000 1/
	74	146,750,000	58,350,000 2/
	75	147,250,000	85,000,000 3/
	76	152,750,000	98,000,000 3/
	77	163,750,000	115,000,000
	78	174,750,000	135,000,000
	79	232,000,000	150,000,000
	80	299,000,000	166,963,000 4/
	81	446,000,000 5/	157,467,000

Program Goals and Objectives:

The general goal of the Bilingual Education Program is to develop English proficiency in children of limited English proficiency and to provide them with equal educational opportunity. To achieve this goal, the Program provides

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1/ Of this amount, $9,870,000 was released and made available for obligation in FY 1974.

2/ Amount shown is after congressionally authorized reductions.

3/ Includes funds earmarked by Congress to carry out provisions of Part J of the Vocational Education Act. An amount of $2,800,000 was appropriated for this purpose each year. Subsequently, funds for vocational education have been requested under the appropriation title for Occupational, Vocational, and Adult Education.

4/ Includes $8,600,000 for the bilingual desegregation program, moved to Title VII as of 1980 from the Emergency School Aid Act by the Education Amendments of 1978.

5/ Includes $90,000,000 for bilingual vocational education training and $20,000,000 for bilingual desegregation programs.

assistance for: (a) establishing elementary and secondary programs of bilingual education, (b) establishing training programs to increase the number and quality of bilingual education personnel, (c) developing and disseminating bilingual instructional materials, (d) coordinating programs of bilingual education, (e) carrying out studies and evaluations, and (f) desegregating local educational agencies.

The term "limited English proficiency" when applied to a student means one: (a) who was not born in the United States or whose native language is a language other than English, (b) who comes from an environment where a language other than English is dominant, or (c) is American Indian or Alaskan Native and who comes from an environment where a language other than English has had a significant impact on his or her level of language proficiency and, for these reasons, has sufficient difficulty in speaking, reading, writing, and understanding the English language to deny him or her the opportunity to learn successfully in classrooms where the language of instruction is English. The term "program of bilingual education" means an instructional program designed for students of limited English proficiency in elementary and secondary schools where instruction is given in English and, to the extent necessary, the native or dominant language of the student to allow the student to achieve competence in the English language. Such instruction may incorporate an appreciation for the cultural heritage of the student of limited English proficiency and may be in those subjects necessary for the student to progress effectively through the educational system. A program of bilingual education may provide for the voluntary enrollment to a limited degree (not more than 40 percent) of students who are proficient in English if doing so contributes to the primary program objective of assisting students of limited English proficiency to improve their English language skills.

The Elementary and Secondary Education Act of 1965 was amended in 1968 by P.L. 90-247 to create Title VII, the Bilingual Education Act. The initial purpose of the Act was to provide financial assistance to carry out new and imaginative elementary and secondary school programs designed to meet the special educational needs of children of limited English-speaking ability.

In 1974, Congress greatly expanded the scope of the Bilingual Education Program through the Education Amendments of 1974 (P.L. 93-380). As a result of P.L. 93-380, increased emphasis was placed on both preservice and inservice training. Included were funds to increase the capacity of postsecondary institutions to train personnel to work in bilingual education programs and a major fellowship program to develop teacher trainers. In addition, the new legislation led to the development of a national network of centers [currently labeled Bilingual Education Service Centers (BESCs) and Evaluation, Dissemination, and Assessment Centers (EDACs)] referred to collectively as the "Network" and funds to States to provide technical assistance to individual projects. In 1976, funds were allocated for the development of the National Clearinghouse for Bilingual Education.

Other provisions of P.L. 93-380 created the Office of Bilingual Education and the National Advisory Council on Bilingual Education. The Act mandated that the Office of Bilingual Education report directly to the U.S.

Commissioner of Education, called for major new initiatives in research, and mandated a national assessment of bilingual education directions and needs.

Congress clarified its definition of acceptable programs of bilingual education operated by Local Educational Agencies by providing for instruction in the native language of childen with limited English-speaking ability to make it possible for the children to progress effectively through the educational system while they were learning English. Emphasis was also placed on giving attention to the cultural heritage of children of English-speaking ability in bilingual programs. At the same time, Congress made it clear that programs designed to teach a foreign language to English-speaking children were not allowable.

Under the Education Amendments of 1978 (P.L. 95-561), Congress clarified its intent that the primary purpose of the Program was to help children become proficient in understanding, speaking, reading, and writing the English language. The new Act called for development of entry and exit criteria for individual students; limited the participation of English proficient children to 40 percent; strengthened requirements for parental and community involvement; and emphasized serving children most in need, including the historically underserved.

Program Operations:

In general, the Bilingual Education Program awards forward-funded discretionary grants on a competitive basis to Local Educational Agencies (LEAs), institutions of higher education (IHEs), and support service centers, and contracts with State Educational Agencies. Although the majority of grants are for multiple years, grant awards are made for one year at a time -- with continuation awards for subsequent years subject to satisfactory performance and availability of funds.

The Office of Bilingual Education and Minority Languages Affairs (created in 1979 with the new U.S. Department of Education) administers the ESEA Title VII Bilingual Education Program and funds 11 categories of subprograms: Basic Projects in Bilingual Education, Demonstration Projects, State Educational Agency Projects for Coordinating Technical Assistance, Bilingual Education Service Centers, Evaluation, Dissemination and Assessment Centers, Training Projects, School of Education Projects, a Desegregation Support program, a Fellowship program, a Materials Development Projects program, and a Research and Development program.

Basic Projects in Bilingual Education:

A Basic Project grant is awarded to an LEA, an IHE which applies jointly with one or more LEAs, or an elementary and secondary school operated or funded by the Bureau of Indian Affairs to establish, operate or improve programs of bilingual education to assist children of limited English proficiency to improve their English language skills. The projects are designed to build the capacity of the grantee to maintain programs of bilingual education when federal funding is reduced or no longer available.

Demonstration Projects:

This program provides financial assistance to potential recipients of a Basic Project grant to demonstrate exemplary approaches to providing programs of bilingual education and to build the capacity of the grantee to maintain those programs when federal funding is reduced or no longer available.

State Educational Agency Projects for Coordinating Technical Assistance:

This program provides financial assistance to SEAs to coordinate technical assistance to programs of bilingual education funded under ESEA Title VII within their States. Examples of authorized technical assistance activities are: (a) assisting in the exchange of information among bilingual education projects sharing similar purposes, goals, and approaches, (b) disseminating information which will help personnel in bilingual education projects meet State certification requirements for teachers of bilingual education and for support personnel who work with the projects, and (c) coordinating the evaluation of the effectiveness of these projects.

Bilingual Education Service Centers:

These centers provide training and other services to programs of bilingual education and bilingual education training programs within designated regional service areas. Those eligible for assistance are: (a) an LEA, (b) an SEA, (c) an IHE or a nonprofit private organization that applies after consultation with one or more LEAs, or with an SEA, or (d) an IHE or a nonprofit private organization that applies jointly with one or more LEAs or with an SEA.

Evaluation, Dissemination, and Assessment Centers:

These centers assist programs of bilingual education and bilingual education training programs within designated regional service areas in assessing, evaluating, and disseminating bilingual education materials. Those eligible for assistance are an LEA, or an IHE that applies jointly with one or more LEAs.

Training Projects:

This program provides financial assistance to establish, operate, or improve training programs for persons who are participating in, or preparing to participate in, programs of bilingual education or bilingual education training programs. Those eligible for assistance are the same as those for a BESC.

School of Education Projects:

This program provides financial assistance to IHEs to develop or expand their degree-granting bilingual education training programs. Those eligible for assistance are: (a) an IHE with a school, department or college of education, or a bilingual education training program that applies after consultation with one or more LEAs or with an SEA, or (b) an IHE with a school, department or college of education, or a bilingual education training program that applies jointly with one or more LEAs or with an SEA.

Desegregation Support Program:

This program provides financial assistance to desegregating LEAs to meet the needs of transferred children who come from an environment in which the dominant language is other than English and who lack equality of educational opportunity because of language barriers and cultural differences. An LEA that meets the requirements of sections 606(a) and 606(c) of the ESEA (as amended in 1978), and any regulations implementing those sections, may apply for a grant.

Fellowship Program:

This program provides financial assistance to full-time graduate students who are preparing to become trainers of teachers for bilingual education. An IHE that offers a program of study leading to a degree above the Master's level in the field of training teachers for bilingual education is eligible to participate in this program.

An individual is eligible to apply for a fellowship under this program if this individual: (a) is a citizen, a national, or a permanent resident of the United States, or is in the United States for other than a temporary purpose and can provide evidence from the Immigration and Naturalization Service of his or her intent to become a permanent resident, or is a permanent resident of the Commonwealth of Puerto Rico, Guam, American Samoa, the Virgin Islands, the Northern Mariana Islands, or the Trust Territories of the Pacific Islands, and (b) has been accepted for enrollment as a full-time student in a course of study offered by an IHE approved for participation in this program. The course of study must lead to a degree above the Master's level in the field of training teachers for bilingual education.

Materials Development Projects Program:

This program awards grants and contracts to develop instructional and testing materials for use in programs of bilingual education and bilingual education training programs. Those eligible for assistance are an LEA, or an IHE that applies jointly with one or more LEAs.

Research and Development Program:

This program authorizes: (a) research activities funded by the U.S. Department of Education to enhance the effectiveness of bilingual education and other programs for persons who have language proficiencies other than English, (b) interagency coordination to develop a national research program for bilingual education, and (c) the development and dissemination of instructional programs and equipment suitable for programs of bilingual education.

Program Scope:

For the Office of Bilingual Education and Minority Languages Affairs, the estimated allocation of funds for FY 1981 is given in Table 1 -- which shows clearly that the majority of funds are allocated to bilingual education programs implemented by LEAs. On the whole, the Program serves approximately 223,000 students speaking collectively 71 languages other than English.

Table 1

Allocation of Funds by the Office of Bilingual Education and Minority Languages Affairs for FY 1981

Category	Funding	Awards
Basic Projects in Bilingual Education	$ 85,041,000	385
Demonstration Projects	13,876,000	41
SEA Project for Coordinating Tech. Asst.	4,500,000	48
Bilingual Education Service Centers and	11,500,000	19
Evaluation, Dissemination and Assessment Centers		3
Training Projects and		48
School of Education Projects	16,075,000	27
Fellowship Program	4,500,000	500
Desegregation Support Program	8,100,000	26
Materials Development Projects Program	6,500,000	8
Research and Development Program	6,000,000	
National Advisory Council	125,000	1
Information Clearinghouse	1,250,000	1
Total	$157,467,000	

Program Effectiveness and Progress:

Two evaluations which have demonstrated the difficulty of providing an adequate education to students of limited English proficiency are "The evaluation of ESEA Title VII Bilingual Education Program" (completed in 1978)[1] and "A study of the state of bilingual materials development and the transition of materials to the classroom" (completed in 1979).

The major findings of the "Evaluation" study, which collected data in the fall and spring of the 1975-76 and the fall of the 1976-77 school years were:

o Less than one-third of the students enrolled in Title VII Spanish/English Basic Projects in Bilingual Education classrooms in grades 2 through 6 were judged to be of limited English-speaking ability.

o In English Language Arts, both Title VII and non-Title VII students were at approximately the 20th percentile relative to national norms. Regarding program impact, the achievement gains of Title VII Hispanic students were less than those of non-Title VII Hispanic students.

o In Mathematics computation, both Title VII and non-Title VII students were at approximately the 30th percentile relative to national norms. Regarding program impact, the achievement gains of Title VII Hispanic students were similar to those of non-Title VII students.

The major findings of the "Materials Development" study conducted in 1976-77 were as follows:

o The language group where most bilingual materials have been produced is Spanish. Yet, users are dissatisfied with many of the materials and the demand remains only partially satisfied. All other languages need materials in all subject areas and grade levels.

o Because of thin markets represented by language groups other than Spanish, few, if any, non-Spanish materials will be commercially produced. Thus, continued support will be required from federal funds if materials are to be made available.

o For certain languages (e.g., Greek, Italian, Portuguese, French, and Haitian), large quantities of materials have been imported into the United States; however, these materials are not linguistically or culturally suited for students residing in the United States.

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[1] The results from this study generated much debate; the nature of the controversy is summarized in documents (6) and (7) listed under "Sources of Evaluation Data."

Evaluation of bilingual project implementation via project information packages:

Between 1974 and 1976, the U.S. Office of Education developed four Project Information Packages (PIPs) for bilingual education projects. Three PIPs were for Spanish/English bilingual education projects, with the fourth for French/English projects. A PIP provided an adopting school district with guides, manuals, and other materials fully describing the instructional and management activities necessary for project success. The PIP materials were designed to provide enough detail to enable adopting school districts to carry out all aspects of planning, starting, and operating a bilingual education project. The objectives of the study were: (a) to determine the effectiveness of the PIPs in assisting school districts select and implement the bilingual education projects they describe, (b) to determine the effectiveness of the projects implemented via the PIPs in improving student achievement and attitudes, and (c) to identify and analyze implementation problems encountered by school districts. The major finding from the study was that the 19 LEAs involved did not replicate the bilingual education program defined by the PIP they were using. Instead, the characteristics of the bilingual education programs at these sites were found to be shaped largely by local factors, federal and State regulations, outside consultants, and neighboring LEA programs. On the whole, the PIP-based diffusion effort was not successful.

Study of ESEA Title VII-funded and other teacher training programs in bilingual education

Initiated in December 1978, this study of teacher training programs in bilingual education is designed:

- To better understand the nature of IHE programs that train bilingual education teachers, aides, and teacher-trainers
- To determine the degree to which program graduates become involved in bilingual education
- To estimate the number of individuals entering the pool of available bilingual education personnel through these activities

Major findings from the study were:

- Increasing the amount of funds available for stipends and fellowships would result in higher levels of enrollment at most institutions of higher education. If student stipends were terminated, the result would be a significant decrease in enrollment in many institutions. Since more students in Title VII-aided schools are from minority groups than non-Title VII programs, the former group would be more vulnerable to loss of financial aid.

- Graduates of bilingual education programs located in states with bilingual education certification requirements not only meet state qualification standards, but would also meet, and exceed, the definition of qualified bilingual personnel contained in the Title VII regulations. However, findings regarding required bilingual education course content and competencies addressed suggest that program improvements could be made that would be likely to enhance teacher qualifications.

- The amount and nature of coordination among academic departments has a significant influence on the curriculum. Where bilingual education program personnel had success in increasing the curricular involvement of relevant faculty, the curriculum tended to be both broader and more closely tailored to the needs of bilingual education students.

- Those programs with a broad curriculum offered better preparation than those with much emphasis on one curricular area at the expense of other areas. The quality and breadth of student preparation is likely to suffer in a program in which all the required courses are taught by one or two people. This problem is exacerbated in an institution of higher education with bilingual education programs at different academic levels, where the same few resources must be thinly distributed. Students at one level receive preparation that is highly similar to students at the other academic level.

- Institution of higher education programs that address more than one target language, while they meet the goal of producing graduates of different linguistic groups, often have difficulty in achieving the same level of preparation for all ethnolinguistic groups represented in the program. Unless there are sufficient numbers of students in each ethnolinguistic group to justify additional faculty and separate courses geared to each group, the program resources tend to be stretched too thin to adequately satisfy the academic and linguistic needs of all students. Institutions of higher education should be enouraged to collaborate among each other to mitigate scarce funds.

- The degree to which a program is able to sustain itself within an institution of higher education is very largely determined by the number of enrollees. If there are enough students to create a demand for the program, the institution of higher education will generally find money to support program faculty.

Development of entry/exit criteria and associated assesment procedures for bilingual education projects

In September 1978, the U.S. Office of Education awarded a 2-year contract for the development of entry/exit criteria and associated project assessment procedures for bilingual education projects. The goal of the study is the development of a Student Placement System which will provide technical assistance to Basic Project grantees in: (a) selecting students most in need of project participation, (b) determining when a participating student may successfully be transferred into an all-English-medium classroom, and (c) providing follow-up assistance to transferred students. This study is congressionally-mandated [see ESEA Title VII, section 731(e)(2)].

As a whole, the Student Placement System is a set of materials for assisting project personnel in designing and implementing an "entry", "exit", and "follow-up" system appropriate for their particular needs, their particular students, and their particular community. The Student Placement System is not a set of achievement tests and is not one particular entry/exit system which should be implemented in all projects. Rather, the Student Placement System is an adaptable set of materials for assisting projects in determining the characteristics of tests most appropriate for their needs, selecting and/or constructing and using such tests. The Student Placement System includes materials for:

- Conducting a local needs analysis for English-language skill assessment
- Selecting and/or constructing appropriate assessment instruments, and developing procedures for their use
- Developing appropriate criteria for selecting and transferring students
- Implementing, maintaining, and evaluating the placement system

Ongoing and Planned Evaluation Studies:

Evaluation of the classroom instruction component of the ESEA Title VII Bilingual Education Program (Ongoing):

A 3-year study of the bilingual education projects funded by Title VII Basic Program grants was initiated in fall 1979. Although the instructional characteristics of projects will be examined, the emphasis is on examining the process by which projects are implemented, and the factors which cause them to be implemented in a particular manner. The major objectives of the study are:

- To describe the characteristics of a representative sample of Title VII-funded bilingual education projects and to identify groups of projects which appear to represent distinctly different approaches to the education of children with limited English proficiency.
- To determine the project objectives, and the relationship between skills actually addressed by the projects and those skills necessary to function effectively in an all-English-medium classroom in the United States.
- To determine the degree of program implementation among LEAs, and to identify factors which enhance or impede project implementation.

Development of evaluation and data gathering models for ESEA Title VII bilingual education projects (Ongoing):

This congressionally-mandated project [see ESEA Title VII, sections 731(e)(3) and 731(d)(2)] was begun in summer 1980 for the development of evaluation and data gathering models for ESEA Title VII Basic Projects in Bilingual Education. The major objectives of the 20-month study are:

o To describe the current evaluation and data gathering practices and evaluation needs of ESEA Title VII Basic Projects grantees.

o To review and synthesize the relevant literature on evaluation models applicable to bilingual education projects.

o To develop an exportable product for providing technical assistance to staff of bilingual education projects in conducting a project evaluation consistent with their needs.

Synthesis of reported evaluation and research evidence on the effectiveness of bilingual education basic projects (Ongoing):

The goal of this study is integrating the evaluation and research evidence on the effectiveness of bilingual education projects on participating students using solely reported evidence. The study will involve no primary data collection and analysis activities, nor any secondary data analysis activities (that is, the reanalysis of student - level data already collected.) The class of analysis activities to be used in this study is that labeled generally as "meta-analysis" -- defined generaly as the statistical analysis of the findings of many individual analyses. Here, the primary emphasis is aggregating achievement and school-related behaviors and outcome measures, where possible, across a collection of reports reflecting heterogeneous projects.

Major objectives for the 18-month study initiated in October 1981 are:

1. To review evaluation and research evidence on the effectiveness of bilingual education projects funded by ESEA Title VII prior to the 1980-81 academic year on student achievement and school-related behaviors.

2. To review evaluation and research evidence on the effectiveness of bilingual education projects not funded by ESEA Title VII prior to the 1980-81 academic year on student achievement and school-related behaviors.

3. To synthesize evaluation and research evidence on the effectiveness of bilingual education projects funded by ESEA Title VII for the 1980-81 academic year on student achievement and school-related behaviors.

Sources of Evaluation Data:

1. Horst, D. P. et al. An evaluation of Project Information Packages (PIPs) as used for the diffusion of bilingual projects: Volume I, Summary Report. Mountain View, CA.: RMC Research Corporation, Report No. UR 460, May 1980.

2. Horst, D. P. et al. An evaluation of Project Information Packages (PIPs) as used for the diffusion of bilingual projects: Volume II, Technical discussion and appendices. Mountain View, CA.: RMC Research Corporation, Report No. UR 460, May 1980.

3. Horst, D. P. et al. An evaluation of Project Information Packages (PIPs) as used for the diffusion of bilingual projects: Volume III, A prototype guide to measuring achievement level and program impact on achievement in bilingual projects. Mountain View, Ca.: RMC Research Corporaticn, Report No. UR 460, May 1980.

4. Development Associates. A study of the state of bilingual materials development and the transition of materials to the classroom: final report. Arlington, VA.: Development Associates, 1978.

5. Danoff, M. Evaluation of the impact of ESEA Title VII Spanish/English Bilingual Education Program: Overview of study and findings. Palo Alto, CA.: American Institutes for Research, Report No. AIR-48300-3/78-FR VI, 1978.

6. National Institute of Education. A re-examination of the impact of ESEA Title VII Spanish/English Bilingual Education Program. Washington D.C.: National Institute of Education, 1979.

7. U.S. Office of Education. Office of Education response to "A re-examination of the impact of ESEA Title VII Spanish/English Bilingual Education Program" conducted by the National Institute of Education. Washington, D.C.: U.S. Office of Education, Office of Evaluation and Dissemination, 1979.

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Program Name

Vocational Education - Bilingual Vocational Training

Legislation	Expiration Date
Vocational Education Act of 1963, as amended by P.L. 94-380, Part J, 1974; as amended by P.L. 94-482, Part B, subpart 3	September 30, 1982

Funding History	Year	Authorization	Appropriation
	1975	$17,500,000	$2,800,000
	1976	17,500,000	2,800,000
	1977	10,000,000	2,800,000
	1978	60,000,000	2,800,000
	1979	70,000,000	2,800,000
	1980	80,000,000	2,800,000
	1981	90,000,000	3,960,000
	1982	indefinite[1]	3,686,000[2]

Program Goals and Objectives

Grants and contracts are awarded up to one year to provide bilingual vocational training for persons who are unemployed or underemployed and who are unable to profit from regular vocational training. Three types of training are offered with set-asides under this authority. Sixty-five percent is authorized to provide bilingual vocational training; 25% to conduct training for instructors and 10% to develop instructional material, methods or techniques for bilingual vocational training.

The target population for the bilingual vocational training program are those with limited-English-speaking ability who have completed or left elementary or secondary school and are available for training by a postsecondary educational institution or persons who have already entered the labor market and who desire or need training or retraining to expand their range of skills or advance in employment. Training allowances for participants in bilingual vocational training programs are subject to the same conditions and limitations as set forth in Section III of the Comprehensive Employment and Training Act of 1973.

Program Operation

Under this authority, the Secretary makes grants with eligible agencies, institutions, and organizations in supplying job training in recognized and in new and emerging occupations. Instruction in the English language is included to insure that participants may find employment in environments where English is

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1/ The Omnibus Budget Reconciliation Act of 1981, Public Law 97-35 establishes an authorization for the Vocational Education Act of 735,000,000. This amount is not broken down by activity.

2/ Third Continuing Resolution, Public Law 97-92.

the language normally used. Eligible public or private institutions or other eligible agencies may also receive grants to train instructors of bilingual vocational training. This training may prepare persons to participate in bilingual vocational training or vocational education programs as instructors, aides, or other ancillary personnel, such as counselors, for inservice and development programs to enable such personnel to continue to improve their qualifications while participating in such programs. Fellowships or traineeships for persons engaged in such preservice or inservice training may also be provided.

Grants and contracts may be awarded to States, appropriate institutions, organizations or individuals to assist them in developing instructional materials, methods or techniques for bilingual vocational training. Funds under this section may be used for research in bilingual vocational training, programs designed to familiarize State agencies and training institutions with research findings and successful pilot and demonstration projects in bilingual vocational training; experimental, developmental and pilot programs and projects designed to test the effectiveness of research findings and other demonstration and dissemination projects.

Program Scope

Fifteen bilingual vocational training programs in eight States are training 1,372 persons for employment in recognized occupations during fiscal year 1981. Occupations include: hospitality and food services, housing maintenance and repair, chefs, data entry operators, air conditioning and heating technicians, auto mechanics and electricians.

The essential aspect of a bilingual vocational training program is that training is conducted both in English and in the dominant language of the participants. Trainees are to acquire sufficient competence to enable them to perform satisfactorily in a work environment where English is used.

Seven instructor training programs have been funded to provide preservice and inservice training for about 268 teachers and staff.

Program Effectiveness and Progress:

Bilingual vocational training programs can reduce unemployment rates, increase job earnings and increase the rate of labor force participation of limited-English speaking adults, according to a recently completed study on the status and impact of such programs.

Improvement of the average unemployment rate was greatest among trainees with high preprogram unemployment rates, Puerto Rican-born or Central American-born persons, trainees who spoke "just a few words of English" at the time they entered the program, trainees who received more than 240 hours of vocational training and trainees from Subpart 3 programs. Other variables associated favorably with unemployment rate change include: coordination between voca-

Only one-third of the trainees continued to work in areas closely related to their training occupation.

The study was based on a probability sample of 718 trainees in 87 vocational cases in 38 bilingual vocational training programs. The sample was designed to represent a total annual enrollment in bilingual vocational training of limited English-speaking trainees during 1978. The programs funded under Subpart 3 account for one-third of the classes (29) and about 23 percent of the sample trainees (167).

Preprogram information was collected retrospectively from trainees during the initial interview while they were enrolled in vocational classes during the spring and summer of 1978. A second interview was conducted after the trainees had been out of training for 8 to 11 months.

Measurements of English language proficiency were obtained during both interviews. The first, obtained while trainees were still enrolled in training, was used to classify trainees according to their English language proficiency at that time. The second was used to analyze the relationship between English proficiency and postprogram labor force status.

Only 18 percent of the trainees were born in the United States. About 60 percent of the students had no previous schooling in the United States or in a setting where English was the medium of instruction. About 77 percent of the trainees had 6 years or fewer of U.S. or English school.

Unemployment dropped by more than 40 percent between the pre- and post-program periods. The rate of labor force participation of trainees increased about 25 percent, including an increase of about one-third (from 49 percent to 67 percent) for women trainees.

The decline of the trainee pre-training post-training unemployment rates was nearly twice as great in the aggregate unemployment rate and nearly 5 times as great as the decline in the average unemployment rate for the labor areas in which the trainees lived. This magnitude of change makes it extremely likely that participation in bilingual vocational training influenced trainee employment very favorably.

The improvement in trainees' pre-training post-training earnings was closely comparable to the rate of increase for all nonsupervisory and production workers nationally. Considering their initial disadvantages in competing in the labor market, the improvement in earnings appears likely to have been influenced strongly by participation in the program, although this conclusion is less clearcut than the change in unemployment rates.

More than four-fifths of the former trainees were satisfied with their post-program jobs. At least 85 percent of the former trainees expressed satisfaction with various aspects of the program. Only job placement services received a lower rating with one-third of the trainees expressing dissatisfaction. More than 92 percent of the trainees were satisfied with the ability and the methods of their instructors. About half agreed that most of what was done on the job was learned in training, and nearly two-thirds said they were able to apply most of what they learned in training.

Sources of Evaluation Data

Assessing Successful Strategies in Bilingual Vocational Training Programs. InterAmerica, Inc., Rosslyn, Virginia: March 1981.

Evaluation of the Status and Effects of Bilingual Vocational Training. Kirschner Associates, Inc., Washington, D.C.: March 1980.

Status of Bilingual Vocational Training, a mandated report by the Commissioner of Education and the Secretary of Labor to the President and the Congress, August 1978.

Assessment of Bilingual Vocational Training. Kirschner Associates, Albuquerque, N.M.: August 1976.

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Program Name

(P.L. 96-212, as amended)

Refugee Education Assistance Act of 1980 1/

Legislation	Expiration Date
Transition Program for Refugee Children, Immigration and Nationality Act as amended by the Refugee Education Assistance Act of 1980, P.L. 96-212, as amended by the Consolidated Refugee Education Assistance Act of 1981	September 30, 1983

Funding History	Year	Authorization	Appropriation
	1980	Indefinite	$23,118,000
	1981	Indefinite	22,600,000
	1982	Indefinite	19,700,000

Program Goals and Objectives

This program provides educational services to meet the special educational needs of eligible refugee children who are enrolled in public and nonprofit private elementary and secondary schools. 2/ The following services may be provided: a) Supplemental educational services - with emphasis on instruction to improve English language skills of eligible children - to enable those children to achieve and maintain a satisfactory level of academic performance, b) Testing to determine the educational needs of eligible children, c) Special English language instruction, d) Bilingual education, e) Remedial programs, f) Special materials and supplies.

Up to 15% of the grant may be used to provide support educational services such as: a) Inservice training for educational personnel who work with eligible children, b) Training for parents of eligible children, and c) School counseling and guidance for eligible children.

1/ This program replaces and expands the scope of the Indochinese Refugee Children Assistance Act, which was not in operation in FY 81 and expired September 30, 1980.

2/ During FY 81 $7.7 million dollars was also disbursed under Section 303 of the Elementary and Secondary Act of 1965, as amended, for educational services for Cuban and Haitian "entrant" children who entered the country after November 1, 1979.

Program Operations

Formula grants based on the number of eligible children are awarded to the States. According to this formula the most weight is given to eligible children who have been in the U.S. for less than one year either in elementary or secondary schools. Less weight is given for children who have been in the U.S. more than one year and for this last group more weight is given to secondary school children.

To receive a grant, a State Educational Agency, (SEA), shall submit to the Secretary a) a count of the number of eligile children, b) a description of the method used to count children, c) a brief description of the services to be provided, d) an assurance that the SEA will make subgrant awards to Local Educational Agencies (LEAs) or consortia within 60 days of the receipt of the grant award, and e) the assurances required in EDGAR (34 CFR 76.101,e..)

Program Scope

For FY 1981 grant requests from the States indicate that approximately 140,000 children have been identified as eligible to participate in the program. All States except Alaska and Wyoming are participating in the program.

The twelve most heavily impacted States are:

California	39,413
New York	11,142
Florida	7,744
Texas	7,302
Pennsylvania	6,995
Washington	6,450
Illinois	6,167
Minnesota	5,014
Oregon	4,107
Virginia	3,820
Louisiana	2,948
Wisconsin	2,448

Program Effectiveness and Progress

There has been no evaluation of the program.

Ongoing and Planned Evaluation Studies

There are no plans to evaluate the program.

Sources of Data

Annual Report, Indochinese Refugee Children Assistance Program, 1977. Report of the Task Force on Indochinese Refugee Children Assistance to the Deputy Commissioner, Bureau of Elementary and Secondary Education, May 1978.

Indochinese Refugee Assessment. Report to the Secretary of H.E.W. Department of Health, Education and Welfare, Office of the Inspector General, Service Delivery Assessment. Washington, D.C., January 1980.

Service Delivery Assessment on Refugee Resettlement. Report to the Secretaries of Health and Human Services and Education, Office of Management, Service Delivery Assessment. Washington, D.C., April 1981.

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C.

EVALUATION OF SPECIAL EDUCATION AND REHABILITATION SERVICES

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Aid to States for Education of Handicapped Children in State-Operated and State-Supported Schools

Legislation:

ESEA Title I, Sections 146-147
(P.L. 89-313), as amended by
P.L. 93-380, and P.L. 95-561

Expiration Date:

Indefinite

FUNDING HISTORY	YEAR	AUTHORIZATION 1/	APPROPRIATION
	1966	$ 15,917,101	$ 15,917,101
	1967	20,462,448	15,078,410
	1968	24,746,993	24,746,993
	1969	29,781,258	29,781,258
	1970	37,475,507	37,475,507
	1971	46,129,772	46,129,772
	1972	56,380,937	56,380,937
	1973	75,962,098	75,962,098
	1974	85,772,779	85,777,779
	1975	183,732,163 2/	183,732,163
	1976	111,433,451	111,433,451
	1977	121,590,937	121,590,937
	1978	132,492,071	132,492,071
	1979	143,353,492	143,353,492
	1980	150,000,000	145,000,000
	1981	165,000,000	156,761,000
	1982	171,092,000	

Program Goals and Objectives:

This program was designed to provide Federal assistance to State agencies which are directly responsible for providing free

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1/ The authorization level under this legislation is determined by formula and taken from the total Title I appropriation prior to any other allocation of Title I funds. See text for definition of the formula. Appropriation designated in terms of "year of use."

2/ Commencing in 1976 the program is advance funded from prior year appropriation. This resulted in a doubling up of funding in 1975. Funds are shown in the year appropriated.

public education for handicapped children. Handicapping conditions include mental retardation, hard of hearing, deaf, speech impaired, visually handicapped, seriously emotionally disturbed, orthopedically impaired, deaf-blind, specific learning disabilities, multihandicapped or other health impairments requiring special education. State agencies are authorized to use Federal assistance only for programs and projects which are designed to meet the special educational needs of these handicapped children. Acquisition of equipment and construction of school facilities may be included in these projects. Assurances must be given that each child will be provided with programs to meet his special educational needs. The primary emphasis of this program is to fund institutions: (1) which provide full-time residential programs to those children requiring this service, (2) which provide special itinerant services on a part-day basis for children who are enrolled in regular day school but require special, additional assistance, and (3) for children confined to their homes because of the severity of their handicap. The program funds institutions which are directly responsible for the education of children in numbers (1) - (3) above.

Program Operations:

Federal funds under this program are advance funded; i.e., funds appropriated in a given fiscal year are obligated for expenditure in the succeeding fiscal year, as determined by a formula. This formula is based upon the number of eligible handicapped children counted in average daily attendance (ADA), in an elementary or secondary program operated or supported by a State agency, multiplied by [illegible] percent of the State per pupil expenditure (or no less than 80 percent or more than 120 percent of the National Per Pupil expenditure). With the amendment of P.L. 89-313 in 1974, children in average daily attendance (ADA) in a State agency who return to an LEA are eligible to participate in the P.L. 89-313 program. The eligibility criteria for LEA participation are:

- The child must have been reported previously in the ADA of a State agency.
- The child must be currently enrolled in an appropriately designed special educational program in the LEA.
- The State agency transfers to the particular LEA funds generated by each such child.

The Office of Special Education (OSE) is responsible for the Federal administration of this program. OSE allocates the funds to State agencies. Applications for the project funds are then submitted by participating institutions/schools to their supervising State agency. Those applications approved by a State agency are forwarded to the State education agency (SEA) for final approval and release of funds. All participating institutions/schools must submit end of year reports to its State agency accounting for the expenditure of funds and providing an evaluation of project activities.

Program Scope:

In FY 81 (i.e., FY 80 appropriation) approximately $145 million was allocated to the 50 States, the District of Columbia, Puerto Rico, Guam, and the Virgin Islands.

The funds allocated were administered by 145 State agencies which supervised project participation at 4,238 State schools, 3,877 local educational agencies and local schools. The average daily attendance reported by these institutions was 243,708 children, as of October 1980. Those children benefitting under the program are distributed across the following handicap categories as follows: Mentally Retarded - 111,381; Deaf - 23,607; Hard of Hearing - 3,296; Emotionally disturbed - 38,828; Deaf-Blind - 1,006; Orthopedically Impaired - 12,380; Other Health Impaired - 4,710; Visually Handicapped - 9,961; Speech Impaired - 11,086; Specific Learning Disabled - 15,309; and Multihandicapped - 12,144. The average per pupil expenditure is $595 per week, based on the FY 80 appropriation.

The funds appropriated in this fiscal year (FY 1981) for use in school year 1981-82, should provide services to approximately 245,000 children. The projected average cost per child served should be $640.

Program Effectiveness and Progress:

An assessment of the P.L. 89-313 program was completed by Rehab Group, Inc., in September, 1979. The data collection and analysis effort in 15 states (35 state agencies) and 73 direct service providers had several objectives:

a. State Agencies

(1) Administration of the Program - examination of administrative models in operation and the manner

in which the following functions are handled: monitoring, auditing, project evaluation, project approval, and personnel assignments. The analysis would include a review of the methods by which ADA counts are validated.

(2) Program Standards - an examination of the standards for program operation in relation to State regulation standards for LEAs.

(3) Fiscal Analysis - review of the allocation and distribution of P.L. 89-313 funds and a description of the procedures used to track funding allotments as they flow to the LEAs (i.e., the transfer provision). A comparison, by handicapping conditions, of the expenditures for services for P.L. 89-313 eligible children.

b. State Institutions/day programs

(1) Program Standards - review of the standards for admission, child assessment, program evaluation, personnel requirements, and pupil/teacher ratios; and to determine what standards exist and how they compare to standards set at the SEA level.

(2) Program Characteristics of Service Delivery Providers - review of the programs/services provided to handicapped children eligible under P.L. 89-313 funding.

(3) Fiscal Analysis of Services Provided - a review of the uses of State and local funds compared to Federal monies.

The major findings according to four major areas of inquiry follow:

Program Administration

The administration structure in the State Education Agencies has changed so as to place more importance on the total special education program. The states have implemented administrative procedures which allow systematic monitoring of the providers for compliance with state and Federal requirements. This includes procedures for ensuring fulfillment of the P.L. 93-380 Local Education Agency transfer provisions. Fiscal accountability is maintained in the majority of study by both State Education Agencies and State Agencies.

Some of the administrative questions related to the provisions of services. For example, the majority of states have established guidelines for defining basic vs. supplemental services. Even so, a problem still exists in determining whether services are basic or supplemental. Another inquiry related to the question of targeting of funds. In general the respondents at the state level did not favor targeting as a means of improving their education programs.

Program Standards

The states have standards of quality which meet or even surpass federal requirements. There have been some changes in recent years which have impacted the program administration, availability of funds, and staff responsibilities. These changes have included the increase in state staff responsibilities and the availability of fewer funds per child because of increased services being mandated by state standards.

Service Delivery

Due to deinstitutionalization, the less severely handicapped are being served in Local Education Agency settings. The majority of clients, therefore, being served in state-operated and state-supported schools are severely and multihandicapped. Despite this fact, the state-operated and state-supported schools in the sample are emphasizing the educational and related service needs of clients being served. This includes the development of individualized education programs (IEPs) for each child or youth in their program.

Program Funding

The majority of study states reported an increase in state funding allocations for special education occuring during the past five years. The state also reported that federal aid accounted for a small portion of total revenues.

Several major recommendations were presented in the report. The results of the study strongly suggest that the funds expended have been successful in upgrading the quality of education programs at state-operated and state-supported schools. It is recommended that Federal funding to meet the needs of handicapped children and youth in these schools be continued.

It is recommended that current Local Education Agency transfer provisions be eliminated. This requirement has proven to be extremely difficult to implement. In most states visited the State

Agency respondents indicated that the local school districts did not wish to avail themselves of these funds because of the extensive paperwork involved.

Sources of Evaluation Data

1. Office of Special Education program information.

2. "Assessment of Educational Programs in State-Supported and State-Operated Schools", Rehab Group, Inc., Falls Church, Virginia, September, 1979.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

State Grant Program

Legislation:

P.L. 91-230, Part B, as amended by P.L. 93-380, P.L. 94-142, and P.L. 95-561, Assistance to States for Education of Handicapped Children

Expiration Date:

Indefinite

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1967	$ 51,500,000	$ 2,500,000
	1968	154,500,000	15,000,000
	1969	167,375,000	29,250,000
	1970	206,000,000	29,190,000
	1971	200,000,000	34,000,000
	1972	216,300,000	37,500,000
	1973	226,600,000	50,000,000
	1974	226,600,000	47,500,000
	1975	1/	200,000,000 2/
	1976	1/	200,000,000 2/
	1977	5/	315,000,000 4/
	1978	5/	566,030,073 6/
	1979	5/	804,000,000
	1980	5/	874,500,000
	1981	5/	874,500,000
	1982	969,850,000 7/	931,008,000

1/ Authorization: Number of children between 3 and 21 multiplied by $8.75.

2/ Includes $90 million in a second supplemental appropriation bill.

3/ Double appropriation changing program to advance funding mode.

4/ $63,230,073 of this amount was carried over into the next fiscal year.

5/ Authorization: Number of handicapped children aged 3-21 multiplied by 5% of APPE (FY 1977), 10% of APPE (FY 1978), 20% of APPE (1979), 30% of APPE (1980) and 40% of APPE (1981).

6/ Includes $37,800,000 supplemental and $63,230,073 carried forward from FY 1977 appropriation.

7/ This authorization is established by the Omnibus Budget Reconiliation Act of 1981, Public Law 97-35.

Program Goals and Objectives:

The primary goal of this program is to assist states to provide full educational opportunities to all handicapped children. Through grants to States, the program design is to assist in the initiation, expansion and improvement of programs and projects for the handicapped (3-21 years of age) at the preschool, elementary and secondary levels. The grants are intended to increase the quality and quantity of programs for handicapped children. Federal and local resources are used in order to insure that all handicapped children receive a free, appropriate public education designed to meet the child's unique educational needs; and further, to guarantee that each child is educated in the least restrictive environment in accordance with his/her special needs.

Program Operations:

Prior to FY 77, nonmatching grants were made to States and outlying areas. The program was advance funded; i.e., funds appropriated in a given fiscal year were obligated for expenditure in the succeeding fiscal year. Funds were allocated to States on the basis of the number of children in each State 3-21 years of age multiplied by $8.75, ratably reduced with a minimum $300,000 grant.

Beginning in FY 1978 (September 1, 1978) the Education of All Handicapped Children Act, P.L. 94-142, required all States to provide a free appropriate education to all handicapped children 5-18 years of age (and 3-5 yars of age, providing that this age range corresponds with State law). Any State requesting a grant is required to submit to the Commissioner, through its State Educational Agency, a State plan. State plans are required to demonstrate: (1) the policies and procedures used to implement the program objectives; (2) the manner in which the administration of the plan is to be conducted; (3) provide assurance that the control and administration of funds is performed by a public agency; and, (4) assure that every attempt will be made to identify and serve all handicapped children. Each State is entitled to receive an amount equal to the number of handicapped children aged 3-21 receiving special education and related services multiplied by a percentage of the national average per pupil expenditure. The percentage increases yearly, up to a maximum of 40 percent in FY 1982. In fiscal years 1977 and 1978, Congress appropriated the authorized amounts of 5 and 10 percent. In fiscal years 1979 and 1980, Congress appropriated 12 percent, compared with the authorized levels of 20 and 30 percent, respectively. In FY 1981 the amount appropriated by the Congress was less than 12 percent, compared to the authorized level of 40 percent.

Fiscal Year of Use	Percent of Per Pupil Expenditures
1978	5
1979	10
1980	20
1981	30
1982 (and thereafter)	40

In determining the amount of funds to be allocated to each State:

- No more than 12 percent of the number of all children in the State, ages 5-17, may be counted as handicapped.
- Five percent of the total funds received or $300,000 (whichever is greater) may be used by States for administrative costs.
- In FY 78, a minimum of 50 percent of Part B funds will "flow through" States to LEA's and intermediate educational units if they meet legislative requirements and priorities and are able to qualify for an allocation of at least $7,500. Starting in FY 79, the minimum flow-through is 75 percent.
- Part B funds that are retained by the State and are not used for administrative purposes must be matched on a program by program basis by the State from non-Federal sources.

Other requirements of P.L. 94-142 are that States provide an education to all handicapped children that:

- Is appropriate and individualized.
- Is available to all children 3-21 by September 1, 1980.

The intent of P.L. 94-142 is to assist the States to defray the excess costs of educating the handicapped. Excess costs are defined as those in excess of the amount normally spent on regular educational programs in the States.

Program Scope:

In general, the purpose of P.L. 94-142 is to provide grants to the States to assist them in the initiation, improvement and expansion of educational and related services for handicapped children at the preschool, elementary, and secondary levels.

The following chart displays various descriptive information about the P.L. 94-142 program based, in part, on FY 1980 data.

FY 80 advance appropriation for FY 81	$874.5 million
Per Child Payment (average)	$222
Number of Children Served	3.93 million
Institutions Eligible	SEAs (25% funds reserved for use by SEA) LEAs (75% funds flowed to LEAs and Intermediate units)
Type of Grant	Formula Grant to State Education Agencies -- LEA Application to SEA
Handicapping Conditions	Mild to Moderate within each disacategory
Educational Settings	Generally directed to LEAs
Intended use of funds	Must be expended according to service priorities for excess costs only. May be used to supplant State funds only after LEAs are in compliance with full service mandate.

As stated earlier, there are established priorities for utilizing these program funds. The expenditure of EHA-B funds is restricted by regulatory requirements which dictate service priorities. The priorities are providing services to the unserved and underserved (i.e., those with the most severe handicapping conditions within each disability area).

In general, grants are used for the following broad priorities:

1. Full implementation of State-wide child identification programs, including diagnostic and evaluative services, which began in school year 1976-77.
2. Continued initiation and expansion of programs to serve the unserved and underserved, most severely and multiple-handicapped. These programs (a) stress least restrictive placement of children in local schools and (b) includes short-term inservice training of local school staff.
3. Continued expansion of programs for preschool children.

Handicapped Children Served in School Year 1980-81

Handicapping Condition	Percentage of Population[7]	No. of Children
Mentally Retarded	1.52	738,509
Hard-of-Hearing	0.07	37,916
Deaf	0.03	17,765
Speech Impaired	2.41	1,166,706
Visually Handicapped	0.04	23,670
Emotionally Disturbed	0.64	312,632
Orthopedically Impaired	0.10	48,315
Other Health Impaired	0.19	94,536
Specific Learning Disabled	2.98	1,439,826
Deaf-Blind	0.00	1,949
Multihandicapped	0.12	59,544
TOTAL	8.16	3,941,368

Program Effectiveness and Progress:

An evaluation of this program was completed in 1972. With the passage of P.L. 94-142, the findings of this study are obsolete. Accordingly, to avoid confusion the summary of these findings has been omitted.

Ongoing and Planned Evaluation Studies:

Several process/formative studies are conducted by the Office of Education and Rehabilitative Services. Details on these studies may be found in the Special Studies summary section.

Sources of Evaluation Data:

Office of Special Education

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[7] Figures have been truncated.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Preschool Incentive Grants

Legislation:

P.L. 94-142, Sections 619
Incentive Grants

Expiration Date:

Indefinite

FUNDING HISTORY:	YEAR	AUTHORIZATION	APPROPRIATION
	1977	1/	$12,500,000
	1978	1/	15,000,000
	1979	1/	17,500,000
	1980	1/	25,000,000
	1981	1/	25,000,000
	1982	$ 25,000,000	2/

Program Goals and Objectives:

The purpose of this program is to stimulate State and local education agencies to expand educational services to handicapped preschool children, ages 3-5, thereby increasing their opportunities to benefit from early educational intervention.

Program Operations:

The Education for all Handicapped Children Act (P.L. 94-142) mandates that all handicapped children aged 3-21 shall receive a free and appropriate education unless, for ages 3-5 and 19-21, such provision is inconsistent with State law or practice. This provision of P.L. 94-142 has the effect of mandating educational service to the handicapped who are in the age group for whom education is compulsory in each State; however, many States do not yet mandate or customarily provide educational services to preschool children; therefore, a large portion of the handicapped preschool population, ages 3-5, would not have the opportunity to benefit from the service mandate contained in P.L. 94-142. As an incentive for States and local education agencies to develop and expand programs for this age group, Section 619 of Part B of EHA authorizes grants to States based on the actual number of handicapped preschool children being served.

1/ Permanent authorization. The authorization level for this program is determined by formula; each state receives $300 (ratably reduced) for every handicapped child, age 3 through 5, who is receiving special education and related services.

2/ At the time of this report, final appropriation had not been enacted. Funding is currently being provided through P.L. 97-92.

SEA's must report to the Secretary the number of handicapped children residing in the state who were receiving special education and related serices on December 1 of that school year. The number of children ages three through five so reported is the basis for awarding preschool incentive grants to SEA's. State educational agencies may distribute funds received under this program to local educational agencies on a discretionary basis.

Program Scope:

In order to be eligible for funding under this program a State must:

(1) make application to the Secretary of education

(2) have in effect a policy that assures all handicapped children a free appropriate public education

(3) have on file in the Department of Education an approved State plan to provide such services, and

(4) already be providing services to some preschool handicapped children ages 3-5.

Program Effectiveness and Progress:

In school year 1976-77 BEH data show that 196,223 handicapped children, ages 3 through 5, were counted as being served, generating Incentive Grant funds to initiate, improve, or expand services to this age group. In school year 1978-79, 213,850 children were counted; in school year 1980-81 the count increased to nearly 238,000 preschool children.

As a complement to the Incentive Grant program which aims at supporting basic educational and related services, the Early Childhood Education program authorized by Part C., Section 623, of the Education of the Handicapped Act supports demonstration projects which focus on improving the quality of educational programs for young handicapped children. The incentive grant program distributes funds on a formula basis, whereas the Early Childhood projects are funded through the discretionary grant process.

Ongoing and Planned Evaluation Studies:

None

Source of Evaluation Data:

Office of Special Education

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For further information about studies of program effectiveness,

Contact: Eugene Tucker
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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Regional Resource Centers

Legislation:

P.L. 91-230, Part C of EHA,
Section 621, Regional Resource
Centers

Expiration Date:

September 30, 1983

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1969	$ 7,750,000	$ 5,000,000
	1970	10,000,000	3,000,000
	1971	1/	3,500,000
	1972	1/	3,500,000
	1973	1/	7,243,000
	1974	1/	7,243,000
	1975	12,500,000	7,087,000
	1976	18,000,000	10,000,000 3/
	1977	19,000,000 2/	9,750,000
	1978	19,000,000	9,750,000
	1979	19,000,000	9,750,000
	1980	21,000,000	9,750,000
	1981	24,000,000	2,880,000
	1982	9,800,000	7,656,000

1/ Totals of $36,500,000 in 1971, $51,500,000 in 1972, and $66,500,000 in 1973 were authorized for Part C, EHA, which includes early childhood projects, Regional Resource Centers, and deaf-blind centers. The 1973 authorization was extended through 1974 by virtue of the one-year extension contained in GEPA.

2/ Total authorized for section 621 is $19,000,000; other funds requested under section 621 were $3,250,000 for severely handicapped projects.

3/ In April 1975 litigation was settled which resulted in the release of $12,500,000 appropriated under the 1973 continuing resolution; of these funds, $3,131,652 were used for Regional Resource Centers, increasing obligations over the 1976 appropriation by that amount.

Program Goals and Objectives:

The Regional Resource Centers Program was established to encourage the development and application of exemplary appraisal and educational programming practices for handicapped children. The centers are given the responsibility of developing a national support system to assist Stae and local agencies develop the capacity to provide needed diagnostic and prescriptive services. To accomplish the goals and objectives of this program, the Centers use demonstration, dissemination, training, financial assistance, staff expertise, and consultation. The Centers also act as backup agents where State and local agencies have inadequate or nonexistent service programs. Among the major activities of the Centers are:

- o Identification of unserved handicapped children.
- o Measurement and diagnosis of handicapped children for the purpose of proper educational placement.
- o Development of educational and vocational programs for handicapped children.
- o Provision of technical assistance to relevant personnel (including teachers and parents) in implementing appropriate services for the handicapped learner.
- o Periodic re-examination, re-prescription or case-tracking to validate the appropriateness of program placement for children.

Direction Service Centers are also supported under this activity. These centers encouraged LEAs to adopt programs of comprehensive referral services through the operation of models which:

- o Provide a one-stop information system
- o Attempt to develop multidisciplinary approaches to integrate services
- o Require parent participation
- o Stress follow-up, periodic reassessment, and program service evaluation

- o Match child's needs to available services

Program Operations:

To meet program goals and objectives, grants and contracts are awarded to institutions of higher education, State educational agencies, or combinations of such agencies or institutions. Within particular regions of the United States, grants or contracts may be awarded to one or more local educational agencies. Projects are approved for period of 36 months. However, awards are made annually, and renewed on the basis of a Center's effectiveness and the availability of funds. Initial awards are made on a competitive basis. Awards pay for all or part of the costs of the establishment and operation of the Regional Centers and Direction Service Centers.

Program Scope:

FY 80 program funds ($9,750,000) support 13 Regional Resource Centers and 15 Direction Service Centers. The current emphasis is on promoting child referral and evaluation and upon providing technical assistance to SEA's and LEAs to assist them to develop and implement the individualized educational program requirements (IEP) and the free appropriate public education requirements (FAPE) specified in P.L. 94-142. Approximately 9,000 personnel have been trained in the best available procedures for carrying out the IEP/FAPE mandate. In addition, 90,000 handicapped children have been appraised, referred, and now receive other educational services as a result of this program's activities. The RRCs also assist the 57 State educational agencies develop their comprehensive State plan required by Section 613 of P.L. 94-142, with particular emphasis devoted to developing case findings and identification systems. The Direction Service Centers assisted over 2,500 families in identifying and obtaining services to meet the needs of their handicapped children.

FY 81 program funds will support 12 RRCs and 12 Direction Service Centers. The distribution of funds across activity areas is:

Activity	Distribution
Regional Resource Centers	
State program development	$ 3,750,000
Educational appraisal	1,160,000

Activity	Distribution
Educational programming	$ 1,160,000
Project Administration	686,000
Direction Service Centers:	
Inter agency Development	360,000
Information Services to Clients	540,000

Program Effectiveness:

The primary limitations on meeting the stated objectives of this program are: (1) the unavailability of best practices in utilizing validated diagnostic procedures, (2) insufficient funds available to State and local educational agencies to develop and implement effective diagnostic, assessment, evaluation and reevaluation programs, and (3) trained diagnosticians and diagnostic teams available in sufficient numbers or with sufficient resources to fully implement the requirements of P.L. 93-380 and P.L. 94-142.

Communications Technology Corporation was awarded a contract in 1978 to conduct an assessment of the capacity building accomplishments of the Regional Resource Centers. The contractor's efforts were directed to examining how effective the RRCs are in assisting SEAs and LEAs implement the Individualized Education Program and the Free Appropriate Public Education requirement mandated by P.L. 94-142.

The study was completed in May 1980 at a cost of $400,000. It was conducted in two phases. Phase I included: document review, instrument development and field testing. Phase II included the data gathering, data processing, analysis and report writing activities.

The major findings were:

- The type of RRC services that have had the widest appeal and utility have been "Training" and "Other Assistance". The training services have generally been directed toward capacity building or training of trainers at the SEA level. Other Assistance services take a variety of forms. The predominant service delivery mechanisms have been consultation, dissemination, and development of educational products specific to state and local needs.

- The multi-State RRCs have generally been more successful and had more effectiveness in building SEA capacity to implement P.L. 94-142 than the single State RRCs.

- RRCs are perceived as a local representative or liaison agency of the Office of Special Education (OSE). Many SEA personnel look to the RRCs as the source of information on OSE policy interpretation, target priorities and current information releases.

Ongoing and Planned Evaluation Studies:

None

Source of Evaluation Data:

Office of Special Education.

"An Assessment of The Capacity Building Accomplishments of the Regional Source Center Program", Communication Technology Corporation, 1980.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Deaf Blind Centers

Legislation:

P.L. 91-230, Part C of EHA,
Section 622, Centers and Services
for Deaf-Blind Children

Expiration Date:

September 30, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1969	$ 3,000,000	$ 1,000,000
	1970	7,000,000	4,000,000
	1971	1/	4,500,000
	1972	1/	7,500,000
	1973	1/	10,000,000
	1974	1/	14,055,000
	1975	15,000,000	12,000,000
	1976	20,000,000	16,000,000
	1977	20,000,000	16,000,000
	1978	22,000,000	16,000,000
	1979	24,000,000	16,000,000
	1980	26,000,000	16,000,000
	1981	29,000,000	16,000,000
	1982	16,000,000	Not Determined

Program Goals and Objectives:

This program's purpose is to provide assistance to deaf-blind children by helping them reach their full potential for communication with, and adjustments to, the world around them so that they can attain self-fulfillment and participate in society. These program objectives are accomplished by working with deaf-blind children as early in life as feasible and by providing effective specialized, intensive professional and allied services, methods and aids. A limited number of model centers for deaf-blind children are funded under this program.

1/ Totals of $36,500,000 in 1971, $51,500,000 in 1972, and $66,500,000 in 1973 were authorized for Part C. EHA, which includes early childhood projects, regional resource centers, and deaf-blind centers. The 1973 authorization was extended through 1974 by virtue of the one-year extension contained in GEPA.

Program Operation:

Contracts are made with public or nonprofit private agencies, organizations, or institutions to pay for all or part of the cost of establishing single state and multi-state centers and for the operation of service contracts with State, local, and private organizations. Contracts for this purpose are awarded based on the availability of existing services and the assurance that a center can provide:

- Comprehensive diagnostic and evaluative services for deaf-blind children.
- A program for the adjustment, orientation, and education of deaf-blind children which integrates all the professional and allied services necessary for these children.
- Effective consultative services to parents, teachers, and others who play a role in the education of these children.

These services may be provided to deaf-blind children (and where applicable, to other persons) whether or not they reside in the center, may take place at locations other than the center, and may include transportation of children, attendants, and/or parents.

Program Scope:

It has been estimated that approximately 70 percent of the funding for deaf-blind programs come from State and local governments. In FY 81 there are 7 single state and 8 multi-state centers serving deaf-blind children. In order to reach the widely dispersed deaf-blind populatin, the centers subcontract with approximately 250 State, local and private organizations. The current program thrust is to render full-time educational services and to provide technical assistance to subcontractors, in order to upgrade the development, implementation, and coordination of new service delivery systems and to facilitate the development of program alternatives. This program will carry out the following activities during FY 81:

- Full-time educational services including prevocational/vocational training programs.

- Part-time educational services (where full-time services cannot be provided)
- Medical diagnosis and educational evaluation
- Family counseling
- Inservice personnel training
- Alternative service programs: satellite homes, community residence programs, respite care
- Dissemination of information on methodologies, materials, curriculum, and proceedings of workshop and training services.

Program Effectiveness and Progress:

Program information suggests that the major drawback in reaching the program's goals is the acute shortage of trained teachers and teacher-aides. An estimated 500 to 600 additional teachers are needed to meet the needs of the known population of deaf-blind children. Current training programs are annually producing only 40 to 50 teachers with special qualifications for teaching deaf-blind children. Additionally, though facilities are avvailable, many need to be modified or renovated to benefit these children. Lack of instructional materials and technology is another deterrent toward fulfillment of program goals.

Program monitoring information indicates that the Centers have been successful in terms of reaching increasing numbers of deaf-blind children. The 5,872 children served in FY 79 comprares favorably with 4,516 in FY 76 and represents a substantial increase over FY 69 when 100 children were served by six programs in the United States.

In FY 81 approximately 6,100 deaf-blind children have been identified. During this year children continued enrollment in full and part-time educational programs. About 3,000 children received initial diagnosis and evaluation services. Parents continued receiving counseling and 3,000 teachers and aides were provided training related to problems of the deaf-blind population.

A study was completed in May 1977 by Abt Associates Incorporated, titled, "An Assessment of Selected Resources for Severely Handicapped Children and Youth." This assessment described characteristics of 100 service providers to the severely handicapped population; among these were providers to the deaf-blind. This evaluation demonstrated that providers serving deaf-blind clients:

- Often had mandates to serve other disability groups.
- Had high staff-client ratios for certified and non-certified teachers and attendants; however, this was not so for other types of staff.
- Varied in the quality of services they provided; e.g., residential providers delivered high quality services, whereas day care providers generally rendered services of poor quality.
- Commonly discharged deaf-blind clients because of (a) functional deterioration of the client or (b) a decrease in the severity of the condition; however, the discharge rate for this disability group was lower than found for other severely handicapped client populations.

In an effort to monitor more systematically and assess the activities and performance of the regional centers and their service providers, the BEH contracted with a team of experts on the deaf-blind to develop a set of guidelines to assess the program and use those guidelines in an on-site review of each deaf-blind region. During FY 78, seven regions were visited. The observations, data, and conclusions produced by the team of experts were compiled and analyzed by another third-party contractor. Their report to the BEH indicated that direct services to children provided at the regional and subcontractor levels were generally of high quality, while services to teachers and parent were of lesser quality. The major area of weakness was regional center administration, particularly fiscal control and management.

This information has been used by the BEH to provide technical assistance to current contractors; and efforts have been taken to ensure that previously identified deficiencies do not manifest themselves in future contract awards.

Ongoing and Planned Evaluation Studies:

The OSERS and RSA are jointly planning a study to fund a needs assessment of services to Deaf-Blind individuals. The study is intended to: (1) determine the demographic characteristics of the deaf-blind population; (2) identify gaps in service delivery; (3) determine future needs; and (4) specify resources necessary to service needs identified for deaf-blind children and adults. The study should be initiated in FY 1982.

Sources of Evaluation Data:

1. Office of Special Education and Rehabilitative Services, program data.

2. "An Assessment of Selected Resources for Severely Handicaooed Children and Youth", Abt Associeates Incorporated. Completed: May 1977.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Early Childhood Education

Legislation:

P.L. 91-230, Part C of EHA,
Section 623, Early Education
for Handicapped Children

Expiration Date:

September 30, 1983

FUNDING HISTORY:

YEAR	AUTHORIZATION	APPROPRIATION
1969	$ 1,000,000	$ 945,000
1970	10,000,000	4,000,000
1971	1/	7,000,000
1972	7,500,000 2/	
1973	3/	12,000,000
1974	4/	12,000,000
1975	25,500,000	14,000,000
1976	36,000,000	22,000,000
1977	38,000,000	22,000,000
1978	25,000,000	22,000,000
1979	25,000,000	22,000,000
1980	25,000,000	20,000,000
1981	20,000,000	9,600,000
1982	20,000,000	17,500,000

Program goals and Objectives:

This program was designed to build the capacity of State and local educational agencies to provide comprehensive services for handicapped preschool children (birth through 8 years of age). The program supports demonstration and outreach projects in an attempt to accomplish this purpose. The Federal strategy is top (1) work cooperatively with Sites, through public and private non-profit agencies, (2) demonstrate a wide range of educational, therapeutic and coordinated social services in order to help establish competent State and local programs. Projects are expected to demonstrate the highest quality of available early education practices for handicapped children.

The following project strategies are used to facilitate the success of this program:

1/ thru 4/ Totals of $36,500,00 in 1971, $51,500,000 in 1972, and $66,500,000 in 1973, were authorized for Part C. EHA, which includes early childhood projects, Regional Resource Centers, and Deaf-blind Centers. The 1973 authorization was extended through 1974 by virtue of the one-year extension contained in GEPA.

- Demonstration projects which are designed to develop service models based on current outstanding practices.

- Outreach Projects which are designed to disseminate model programs for replication.

- State implementation projects which are designed to assist States in planning and implementing part(s) of their respective early childhood state plans.

- Early Childhood Institute which support long-term research into the complex problems of young handicapped children.

In an effort to disseminate high quality information and to develop effective management practices contracts are awarded to provide additional technical assistance to projects. And in an effort to investigate specific areas of early childhood education for the handicapped with direct application to typical educational settings, contracts are awarded for experimental projects.

Program Operations:

This program provides grants and contracts annually on the basis of national competition. Each model demonstration project is approved for a three-year period, but receives second and third year funding on the basis of successful performance and availability of funds; each outreach project is approved for generally a three-year period, but receives second and third year funding on the basis of successful performance and availability of funds; and each state implementation grant is generally approved for a two-year period, but recieves second year funding on the basis of successful performance and availability of funds.

The demonstration projects developed under this program include the following components:

- Developing and demonstrating (1) services for young children with handicaps; and (2) assessment procedures for evaluating (particularly those who are less than three years of age) the progress of children.

- Providing services to parents and family members including counseling and emotional support, information, opportunities for observation, practice and training, home carryover and involvement in project planning and evaluation.

- Providing inservice training to increase volunteer, paraprofessional, and professional staff effectiveness.

- Coordination with other agencies, especially the public school.

- Disseminating information to professionals and to the general public concerning comprehensive programming for young children with handicaps.

- Evaluating the effectiveness of project components to document the effectiveness of the project.

Program Scope:

According to program data, approximately 1,000,000 preschool children (ages birth through eight years) have handicapping conditions. Approximately 30% of these children are being served in varying degrees through demonstration and outreach projects, Head Start and day care programs, public education programs and through State-supported activities.

This capacity building program will complement the main service efforts required of States and LEA's under P.L. 94-142. This strategy is implemented through the following types of projects: Demonstration projects provide for the direct support of initiating services and model development at the local level; outreach projects, working with the models of validated projects, disseminate information and emphasize the replication of their models in new locations, including working at the local and state levels; state implementation projects provide support in the implementation of statewide plans to provide appropriate educational services to all preschool handicapped children in accordance with the provisions of P.L. 94-142; technical assistance projects aid in needs assessment, program management, self evaluation, and packaging of models to facilitate the efforts of the demonstration and state implementation projects; and experimental projects develop and test new ideas for education of young handicapped children and test the effectiveness of these new approaches in typical educational settings.

During FY 81 this program supported 163 projects. Projects funded included: 96 new and continuation demonstration projects; 41 new and continuation outreach projects; 20 new and continuation state implementation projects; 2 technical assistance projects; and 4 early childhood institutes.

It is anticipated that the FY 81 appropriation (which will be spent in FY 82) will support 146 projects including 78 new and continuation demonstration projects, 42 new and continuation outreach projects, 18 new and continuation state implementation projects, 2 technical assistance projects, and 6 experimental projects.

Program Effectiveness and Progress:

FY 78 program data indicated direct impact through the demonstration and outreach activities as follows:

- approximately 11,000 preschool handicapped children and their families received services through the demonstration projects and the demonstration-continuation sites at outreach projects. *
- over 40,000 personnel were trained to work with handicapped preschoolers.
- approximately 50,000 were served in projects developed or stimulated by HCEEP assistance (over 13,000 children and their families were served by sites replicating HCEEP model components and receiving outreach assistance).
- over 600 sites in the 50 states replicated model components and received outreach assistance.

A follow-up study to determine where graduates of these projects were placed indicated that about two-thirds of the graduates were placed in regular school classes or regular school classes with ancillary special education services. Three quarters of the graduates studied went to public schools.

An informal survey of projects first funded in FY 1969 indicates that 80% of those programs continued in some manner with non-HCEEP monies. Of those 80%, approximately half had expanded the number of children served, the scope of their services, or both. This informal survey was conducted during the summer of 1978.

Ongoing and Planned Evaluation Studies:

Impact Evaluation of HCEEP projects (to be completed in FY 1982)

Sources of Evaluation Data:

Office of Special Education and Rehabilitative Services.

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* Approximately 2,900 children were served in model demonstration projects in FY 1981.

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Program Name:

Severely Handicapped Projects

Legislation:	Expiration Date:
P.L. 91-230, Part C of EHA, Section 624	September 30, 1983

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1974	1/	$ 2,247,000
	1975	2/	2,826,000
	1976	2/	3,250,000
	1977	3/	5,000,000
	1978	3/	5,000,000
	1979	3/	5,000,000
	1980	3/	5,000,000
	1981	3/	2,880,000
	1982	$ 5,000,000	4,375,000

Program Goals and Objectives:

The goal of this program is to establish and promote effective innovative practices in the education and training of severely handicapped children/youth. Demonstration projects funded under this program are designed to develop and refine identification, screening, diagnostic, and prescriptive procedures and instruments; develop, demonstrate, and refine model curriculum, methodology, and educational materials; and package and disseminate model project findings and products such as curriculum guides and educational materials.

1/ Funds in 1974 derived from Part C, Section 621 (Regional Resource Centers), Section 623 (Early Childhood Projects), and Part F (Media Services and Captioned Films). Total authorization for Part C in 1974 was $66,500,000; for Part F, $20,000,000.

2/ Funds in 1975 and 1976 derived from Part C, Section 621 (Regional Resource Centers), and Section 623 (Early Childhood Projects).

3/ Funds are authorized under Part C, Section 621.

The ultimate educational and training goal for severely handicapped children is to provide appropriate self-development experiences to this population. These experiences are designed with the objective of helping the severely handicapped reach their maximum potential of developing into self sufficient individuals in normalized, community/home/neighborhood environments.

This program is a major vehicle for the implementation of P.L. 94-142. Therefore, the Federal strategy is to eventually cover all States or sparsely populated multi-State regions with demonstrations appropriate to Statewide needs.

Expected strategies with the FY 81 appropriation will be to:

- Fund projects for severely handicapped children/ youth which target on (a) public school service facilitating social integration; (b) functional curricula across domestic living, recreational and commercial domains; (c) qualitative service improvement through innovative practices; and (d) deinstitutionalization into least restrictive environments.
- fund projects for autistic children which will emphasize the development of communication and social skills and demonstrate and replicate information and findings in these skills areas throughout the nation.
- Fund projects to establish new special education delivery systems for the severely handicapped in rural and urban geographic areas.

Program Operations:

To accomplish the objectives of this program, contracts are awarded competitively on a 1-year basis, with continuation funding for a second and third year based upon the project's effectiveness, replicability, and availability of funds. Eligible contractees are State department of education, intermediate or local education agencies, institutions of higher education, and other public or nonprofit private agencies.

Program Scope:

Program data (FY 78) indicate that approximately 388,200 severely handicapped children receive some services from Federal, State and private sources. Program staff estimate that there are 1,404,948 severely handicapped children (ages 0-19) in the Nation. Of these children, 465,000 are severely or profoundly mentally retarded; and 905,000 are seriously emotionally disturbed (e.g., autistic or schizophrenic) and 34,948 have multiple handicaps.

Comparative statistics prepared by ED indicate that the total number of severely handicapped children needing specialized services has remained fairly constant over the past 7 years. The least severely handicapped are gradually being integrated into less restrictive service environments, but past decreases have been offset by an increase in the number of severely handicapped children identified as needing specialized services.

States have historically failed to make educational services available to all severely handicapped children. With the passage of P.L. 94-142 the number of unserved handicapped children has been significantly reduced. This law has required that if a State receives Federal financial aid under this Act the State must provide free, appropriate public education FAPE) to all handicapped children ages 3-18 by September 1978, and to all children between 3 and 21 by 1980, to the extent allowable by State law or practice. Accordingly to Federal law, all States are required to give the second highest priority to providing a FAPE to all severely handicapped children within each disability group.

In fiscal year 1981, (1980 appropriation) 37 projects were continued at a cost of $1,084,600, while 21 new awards were made at a cost of $4,835,391 4/. Four projects have applied for Department of Education validation as exemplary demonstration models. Approximately 3,000 children will participate in programs during FY 81.

Program Effectiveness and Progress:

None

Ongoing and Planned Evaluation Studies:

None

4/ Includes $919,991 carry over from FY 1979 (LSASA set-aside).

Source of Evaluation Data:

Office of Special Education and Rehabilitative Services

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Regional Education Programs

Legislation:	Expiration Date:
P.L. 91-230, Part C, Section 625, Regional Education Programs	September 30, 1983

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1975	$ 1,000,000	$ 575,000
	1976	1/	2,000,000
	1977	1/	2,000,000
	1978	10,000,000	2,400,000
	1979	12,000,000	2,400,000
	1980	14,000,000	2,400,000
	1981	16,000,000	2,832,000
	1982	4,000,000	2,950,000

Program Goals and Objectives:

The purpose of the program is to enhance the acquisition by handicapped students of skills for successful career competition in the professional, skilled and unskilled labor markets. Institutions of higher education, including junior and community colleges, vocational and technical institutions, and other appropriate nonprofit educational agencies are eligible to receive awards for the development and oepration of specifically designed or modified programs of vocational, technical, post-secondary, or adult education for deaf or other handicapped persons.

Program Operations:

Grnts or contracts may be awarded to institutions of higher education, including junior and community colleges, vocational and technical institutions, and other appropriate nonprofit educational agencies. These grants and contracts are awarded for the development and operation of specifically designed or modified programs of vocational, technical, postsecondary, or adult education for

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1/ Such sums as become necessary.

- o Programs adapting existing programs of vocational, technical, post-secondary, or adult education to the special needs of handicapped persons.

- o Programs designed to serve areas where a need for such services is clearly demonstrated.

Program Scope:

In FY 81, a total of 23 programs were funded. In addition to the four regional programs serving over 600 deaf students, 19 demonstration programs provided special support services to 500 other handicapped students, and to an estimated 20,000 other handicapped students indirectly through the technical assistance and conferences and workshops. New projects represented efforts at identification of best practices, cost-effective ways of providing support services, and a needed information exchange where such information could be obtained by institutions of higher education wishing to initiate and/or improve service in this area.

The types of services provided were: tutoring, counseling, adaptive recreational pursuits, notetaking, interpreting, wheelchair/personal attendance, and adaptation of instructional media to meet the unique needs of the handicapped. It is estimated that better than 95% of the handicapped. It is estimated that better than 95% of the handicapped students who complete their studies with the benefit of the services supported by this program are employed in positions commensurate with their abilities.

Program Effectiveness and Progress:

None.

Ongoing and Planned Evaluation:

None.

Source of Evaluation Data:

Office of Special Education and Rehabilitative Services.

For further information about program information.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Special Education Personnel Development

Legislation:

P.L. 91-230, Part D, Section 631, 632, and 634 of EHA, Training Personnel for the Education of the Handicapped

Expiration Date:

September 30, 1983

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1966	$ 19,500,000	$ 19,500,000
	1967	29,500,000	24,500,000
	1968	34,000,000	24,500,000
	1969	37,500,000	29,000,000
	1970	57,000,000	35,610,000
	1971	1/	32,600,000
	1972	2/	34,645,000
	1973	3/	39,660,000
	1974	4/	39,615,000
	1975	45,000,000	37,700,000
	1976	52,000,000	40,375,000
	1977	50,000,000	45,375,000
	1978	75,000,000	45,345,000
	1979	80,000,000	57,687,000
	1980	85,000,000	55,375,000
	1981	90,000,000	33,600,000
	1982	58,000,000	43,500,000

Program Goals and Objectives:

The objective of this program is to ensure an adequate supply of educational personnel competent to deal with the special educational problems of the handicapped. This program provides financial assistance to train special and regular classroom teachers, supervisors, administrators, researchers, teacher educators, speech correctionists, and other special service personnel such as specialists in physical education and recreation, music therapy, and paraprofessionals. Persons trained under this program come from a variety of professional backgrounds. Training is not limited to persons with a background in education.

1/ thru 4/ A total of $69,500,000 in 1971, $87,000,000 in 1972, and $103,500,000 in 1973 was authorized for Part D, EHA. The 1973 authorization was extended through 1974 by virture of the one-year extension contained in GEPA.

Program Operations:

In order to accomplish the objectives of this program, the program awards grants to institutions of higher education, State education agencies, local education agencies, and other appropriate nonprofit agencies. Grantees, through 1981, have been placed on a 3-year cycle system. A third of the States and territories apply for new cycles each year. A series of 12 priorities are used on a preservice and inservice basis. The system allows for funding allocations based on various priorities of differential needs such as stipends, faculty salaries, or curriculum development. All awards are made on a 12-month basis and the program is forward-funded with the minimum award being $1,000 and the average award approximately $60,000.

Through this program financial assistance is given to individuals for preservice; i.e., full-time students specializing in special education. Additionally, inservice training is a major priority for both regular education teachers and for special education personnel.

Program Scope:

During FY 80 the program provided pre-service training for 7,174 special educators and support personnel for both regular and special education at a cost of $28,517,000. It also provided inservice training for 21,131 special educators, 82,821 regular classroom teachers, 23,396 administrators and supervisors, and 65,876 other school and support personnel. With FY 80 program funds the following activities were carried out:

1) Preparation of Special Educators:

   - Inservice and preservice training for education specialists servicing handicapped children aged birth through 6 years. Many trainees work with handicapped children in regular educational programs upon graduation.

   - Train special education personnel to serve the severely and multi-handicapped (including emotionally disturbed and autistic) and/or to meet national and regional needs for low incidence target groups. P.L. 94-142 requires provision of appropriate education for the most severely handicapped child, within each disability.

2) Preparation of Support Personnel for Regular and Special Education:

   - Train paraprofessional to assist both special educators and regular classroom teachers.

   - Train specialists in physical education or therapeutic recreation to integrate appropriate techniques into a child's overall education program. These additional types of services are required so that many handicapped children can function in a regular classroom situation for at least a part of each day.

- Prepare specialists from various related fields, such as the health and social sciences to integrate educational information, methodology and practices for the handicapped child into their support functions.
- Provide training in handicapping conditions so that specialists will be effective in providing services to the handicapped.
- Train personnel in vocational and career education to provide program for the handicapped or to include them in their regular programs.
- Support programs designed to recruit and train parents and other volunteers to work in education programs for the handcapped.

3) Special Education Training for Regular Education Teachers

Provide special education training to personnel preparing for regular classroom teaching and administration; and provide inservice training for regular classroom personnel already in the field. P.L. 94-142 specifies that handicapped children be placed in the least restrictive environment." Large numbers of regular room personnel are encountering handicapped children in their classrooms. The need for training continues to increase. Programs may include supportive services from special education personnel who work with handicapped children.

4) Instructional Models:

Two activities are funded which train personnel and which develop new models of instruction for the preparation of personnel who teach the handicapped. The activities are (1) the support and development of post doctoral training programs; (2) the identification and dissemination of cost-effective training models.

FY 81 funds have been used to provide in-service training to 45,628 personnel and preservice training for 7,907 special education and support personnel.

Program Effectiveness and Progress:

Program estimates based on P.L. 94-142 Annual Program Plans prepared by each State indicate that in order for the educational system to meet its full service commitment, an additional 64,000 specially-trained teachers were needed for September 1978. This did not consider attrition, only known vacancies.

The P.L. 94-142 specification that handicapped persons be placed in the least restrictive educational environment has resulted in increasing numbers of regular classroom teachers encountering handicapped children. Current emphasis is being placed upon institutions of higher education (IHE) Deans Grants, changing elementary and secondary curricular to improve the capability of regular classroom teachers to work effectively with children with handicapping conditions. The training is expected to emphasize:

- Knowledge of the handicapped including attitude and awareness training
- Teaching methodologies used with handicapped children
- Classroom management skills
- Utilization of specialized and ancillary personnel to provide support services

In addition, regular education inservice projects (REGI) which represent more than 200 projects, are developing models which can be replicated by either SEAs or LEAs, using P.L. 94-142 funds. Projects have been funded in all 50 States and two territories. These models are being developed and training initiated by a variety of agencies and organizations - IHEs, SEAs, LEAs, IEUs, research groups and professional organizations.

Ongoing and Planned Evaluation Studies:

A study of the effectiveness of projects providing inservice training to regular classroom teachers began in FY 1979.

Source of Evaluation Data:

The Office of Special Education program information.

For further information about program information,

Contact: Slagle Allbritton
(202) 245-0335

For further information about studies of program effectiveness,

Contact: Eugene Tucker
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Recruitment and Information

Legislation:	**Expiration Date:**
P.L. 91-230, Part D of EHA Section 633, Recruitment of Educational Personnel and Information Dissemination	September 30, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1966		
	1967		
	1968		
	1969	$ 1,000,000	$ 250,000
	1970	1,000,000	475,000
	1971 1/		500,000
	1972 2/		500,000
	1973 3/		664,000
	1974 4/		500,000
	1975	500,000	500,000
	1976	500,000	500,000
	1977	1,000,000	1,000,000
	1978	2,000,000	1,000,000
	1979	2,000,000	1,000,000
	1980	2,500,000	1,000,000
	1981	2,500,000	
	1982	1,000,000	750,000

Program Goals and Objectives:

This program is designed to encourage people to enter the field of special education, to disseminate information and provide referral services for parents of handicapped children, and to assist them in their attempts to locate appropriate diagnostic and educational programs for their children.

1/ thru 4/ A total of $69,500,000 in 1971, $87,000,000 in 1972, and $103,500,000 in 1973, was authorized for Part D, EHA. The 1973 authorization was extended through 1974 by virtue of the one-year extension contained in GEPA.

Program Operation:

This program operates by providing non matching grants or contracts to public or nonprofit private agencies, organizations, or institutions with the requirement that such funds be used for:

- Encouraging students and professional personnel to work in various fields of education of handicapped children and youth through developing and distributing innovative materials to assist in recruiting personnel for such careers, and by publicizing information about existing forms of financial aid which might enable students to pursue such careers.
- Disseminating information about the programs, services, and resources for the education of handicapped children, or providing referral services to parents, teachers, and other persons especially interested in the handicapped.

Program Scope and Effectiveness:

Implementation of the Education for All Handicapped Children Act (P.L. 94-142) has resulted in a significant number of inquiries about education for the handicapped. To promote a greater awareness of the availability of services for the handicapped, the $1 million appropriation (FY 1980) went to:

- Fund Parent Information Centers to assure that referral and information services are accessible to any and all handicapped children and their parents.
- Conduct workshops in geographically strategic areas of the country for the purpose of orienting as many people as possible about the functions/responsibilities for all parents who wish to attend and provide training for those parents who may be operating a local unit.
- Develop, produce and distribute information generated by parents to be used by all persons interested in providing services for the handicapped.

- Continue development of information packages for Indians, the disadvantaged, those of limited-English speaking ability, and the geographically isolated.

- Continue operation of the Information Clearinghouse which develops, produces and distributes informational packets on available services for the handicapped. Recipients of this information include the handicapped, parents of the handicapped, or any other persons who may be interested in finding out what is available for the handicapped.

- Continue to reach a concerned constituency through the Closer Look Report.

Of the 7 projects underway in fiscal year 1980, 4 will continue in FY 81. Those activities include a contract for an information clearinghouse, a contract to advertise the services of the clearinghouse (media outreach campaign), and 2 information centers.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

Office of Special Education and Rehabilitative Services program data.

For further information about program operation,

Contact: Slagle Allbritton
(202) 245-0335

For further information about program effectiveness,

Contact: Eugene Tucker
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Innovation and Development

Legislation:

P.L. 91-230, Part E of EHA, Section 641, 642 as amended by P.L. 95-49, Research in the Education of the Handicapped

Expiration Date:

September 30, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1964	$ 2,000,000	$ 2,000,000
	1965	2,000,000	2,000,000
	1966	6,000,000	6,000,000
	1967	9,000,000	8,000,000
	1968	12,000,000	11,000,000
	1969	14,000,000	12,800,000
	1970	18,000,000	13,360,000
	1971	27.000,000	15,300,000
	1972	35,500,000	15,755,000
	1973	45,000,000	9,916,000
	1974		9,916,000
	1975	15,000,000	9,341,000
	1976	20,000,000	11,000,000
	1977	20,000,000	11,000,000
	1978	20,000,000	20,000,000
	1979	22,000,000	20,000,000
	1980	24,000,000	20,000,000
	1981	26,000,000	
	1982	20,000,000	20,000,000

Program Goals and Objectives:

Innovation and development activities attempt to improve the effectiveness and efficiency of the educational system and its provisions for handicapped children by supporting the development and validation of new service models, by packaging information in usable form, and by systematically disseminating this information.

1/ As of FY 1978 projects previously funded under the Specific Learning Disabilities program are funded under the Innovation and Development program, accounting for the substantial increase in appropriation.

Program Operations:

This program is concerned about improving educational opportunities for handicapped children through support of decision-oriented research and related activities. Support includes grants or contracts for research, surveys, or model demonstrations relating to education of handicapped children. Additionally, grants are made for similar activities relating to physical education or recreation for handicapped children. Activities are integrated in a planned pattern to support teacher training and the special service functions of the total Federal program for handicapped children.

Grants and/or contracts are made to State or local educational agencies, institutions of higher education, and other public or private educational or research agencies and organizations. Awards are made based on national competition. Projects are approved for periods ranging from 1 to 5 years. Generally awards are made for one year with continued funding based on quality performance and availability of funds.

Program Scope:

In FY 81, 109 research projects were supported; of these 62 were new efforts and 47 were continuations of projects begun in previous years. These projects supported research on programs for orthopedic and otherwise health impaired children, hearing impaired children, programs for the mentally retarded, programs for speech impaired, visually impaired, emotionally disturbed, learning disabled, and other programs classified as noncategorical. The largest expenditure was allocated to noncategorical programs. The interest in issues related to P.L. 94-142 and in attitutinal research continued to be noteworthy in FY 1981.

In addition to the research projects this program supported 55 model demonstration projects, all non-competitive continuation awards. Forty-five of these projects supported model demonstration centers, nine were research institutes and one provided technical assistance in demonstration techniques. Increased interest in secondary level programs was again a feature of the 1981 program.

During FY 81 the Innovation and Development program will have produced over 100 products and materials relating to the education of handicapped children and 50 publications in professional journals, processed over 185 research reports, and provided model programs to some 2,100 handicapped children.

Program Effectiveness and Progress:

None

Ongoing and Planned Evaluation Studies:

None

Source of Evaluation Data:

Office of Special Education Rehabilitative Services.

For further information about program operation,

Contact: Slagle Allbritton
(202) 245-2381

For further information about program effectiveness,

Contact: Eugene Tucker
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Media Services and Captioned Films

Legislation:

P.L. 91-230, Part F of EHA, Sections 652 and 653; as amended by P.L. 93-380, and P.L. 94-142, Instructional Media for the Handicapped

Expiration Date:

Indefinite

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1967	$ 3,000,000	$ 2,800,000
	1968	8,000,000	2,800,000
	1969	8,000,000	4,750,000
	1970	10,000,000	6,500,000
	1971	12,500,000	6,000,000
	1972	15,000,000	6,000,000
	1973	20,000,000	13,000,000
	1974	20,000,000	13,000,000
	1975	18,000,000	13,250,000
	1976	22,000,000	16,250,000 1/
	1977	22,000,000	19,000,000
	1978	24,000,000	19,000,000
	1979	25,000,000	19,000,000
	1980	27,000,000	19,000,000
	1981	29,000,000	17,000,000
	1982	19,000,000	11,520,000

Program Goals and Objectives:

This program supports grants or contracts for the purpose of providing special educational materials to handicapped learners. Educational materials are produced and distributed for use by the handicapped, their parents, actual or potential employers, and other interested persons in order to meet this objective. Program funds are used to caption and distribute films and other visual training

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1/ In April 1975, litigation was settled which resulted in the release of $12,500,000 appropriated under the 1973 Continuing Resolution. Of these funds, $1,012,332 was used in the Media Services and Captioned Films program during fiscal year 1976, increasing obligations over 1976 by that amount.

media to assist deaf persons and to train persons in the techniques of using educational media for instructing the handicapped. Additionally, media development centers are funded to conduct research for advancing the art of developing appropriate educational media for the handicapped.

Program Operations:

To accomplish program objectives, a loan service has been established for captioned films for the deaf and related educational media for the handicapped. Educational materials are made available in the United States for nonprofit purposes to handicapped persons, parents of handicapped persons, and other persons directly involved in activities for the advancement of the handicapped. Activities permissible for this purpose include: the acquisition of films and other educational media for purchase, lease or gift; acquisition by lease or purchase of equipment necessary for the administration of the above. Contracts are provided for the captioning of films and for the distribution of films and other educational media and equipment through State schools for the handicapped and other appropriate agencies which serve as local or regional centers for such distribution. Additionally, grants or contracts provide for research in the use and production of educational and training media. Provisions are made for the distribution of the materials, for utilizing the services and facilities of other governmental agencies and for accepting gifts, contributions, as well as voluntary and uncompensated services of individuals and organizations. Projects are approved for periods of up to 36 months; however, awards are made annually, with renewals funded on the basis of a project's effectiveness, the replicability of its elements and availability of funds.

Program Scope:

During FY 81 the following types of activities were supported under this program:

- Educational Media and Materials Centers
- Captioned Films for the Deaf
- Captioned Television and Telecommunications
- Marketing and Implementation Activities
- Recordings for the blind
- National Theatre of the Deaf
- Grants for the Development of Educational Technology

Educational Media and Material Centers were funded for the severely handicapped and the hearing impaired. The legislatively mandated centers provided support for the design, adaptation, development and production of media and materials geared to the uique learning problems of these populations. Awards were made to ensure that products developed for the handicapped were distributed to consumers and grants were awarded to provide for research, development, and production in the utilization of educational technology to further advance this field. In addition, Captioned Films distributed to deaf adults and to schools and classes for the deaf reached approximately 4,000,000 deaf persons of all ages. Captioned television news reached an estimated 6 million persons daily per broadcast from over 140 stations including American Samoa. To implement closed captioned television for the hearing impaired, the National Captioning Institute was created to develop the captions for broadcasting.

During FY 81 this program will provide a total of 116 awards to support:

1) Educational Media and Materials Centers: These centers which were first funded in FY 77 in response to congressional interest were continued. Emphasis was on the systematic delivery of educational technology to special populations through the design and/or adaptation, development, and production of appropriate education materials. The centers also provided training in the selection and use of these materials and promoted the utilization of materials available for circulation.

2) Marketing and Implementation Strategy: Through one marketing linkage project, 22 subsidiary awards were made to continue the development of a marketing and implementation program to assure that models of curricula and materials designed for the handicapped are widely distributed among handicapped consumers. This activity is expected to have helped promote testing and development of promising prototypes of educational devices for production models.

   The production of custom-made tape coof textbooks for distribution to blind elementary and high school students was continued through other marketing contracts.

3) Captioning and Recording: A total of 70 awards were made to continue the adaptation, development, production and distribution of devices incorporating the most recent technological and telecommunicative advancements in television and recording. The program captions programs for the deaf and develops new television programming for the handicapped, and develops educational programming for parents of the handicapped. Support for the production of recordings for the blind and print-handicapped was continued.

4) National Theatre of the Deaf. Support continued for the National Theatre of the Deaf. This Theatre serves as a talent center for activities in theatre arts, providing vocational, educational, cultural and social enrichment for the deaf.

5) Grants Program for Media Research and Development: An estimated 20 awards will be made. Activities focus on research to identify and meet the full range of special needs of the handicapped relative to educational materials and technology. Included are demonstrations of new or improved methods, approaches, or techniques which are designed to assis handicapped individuals adjust to their disability. Additionally, the creation or adaptation of media and technology to aid the handicapped are supported by this program. The media or technology are designed for use by handicapped persons, their parents, actual or potential employers, and others who are involved with the handicapped.

Ongoing and Planned Evaluation Studies:

None

Source of Evaluation Data:

Office of Special Education and Rehabilitative Services.

For further information about program operation,

Contact: Slagle Allbritton
(202) 245-0335

For further information about program effectiveness,

Contact: Eugene Tucker
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Special Studies

Legislation:

P.L. 94-142, Section 618

Expiration Date:

Indefinite

FUNDING HISTORY:	YEAR	AUTHORIZATION	APPROPRIATION
	1977	1/	$ 1,735,000
	1978	1/	2,300,000
	1979	1/	2,300,000
	1980	1/	1,000,000
	1981	1/	1,000,000
	1982	$2,300,000	480,000

Program Goals and Objectives:

The purpose of this program is to evaluate the effectiveness of the states in providing a free appropriate public education to all handicapped children as mandated by Public Law 94-142, the Education for All Handicapped Children Act of 1975. The evaluation activities identify both the problems and the success state and local education agencies are having in implementing the law. The formation from these activities is used in reporting to Congress on the progress being made in meeting the full educational opportunity goal specified in P.L. 94-142. The evaluation activities and the annual report to Congress are mandated by Section 618 of the law.

Program Operations:

The Secretary conducts, directly or by grant or contract, studies to accomplish the goals of Part B of the Education for All Handicapped Children Act.

Program Scope:

Evaluation studies funded have focused around the following questions:

- Are we serving the intended beneficiaries?
- Where are the beneficiaries being served?

1/ Such sums as become necessary.

- What services are being provided to children?

- Do services provided meet the intent of the law?

- What administrative mechanisms are in place?

- What are the consequences of implementing the law?

Studies and technical assistance activities underway or completed in FY 81 are designed to:

1. Describe and evaluate the special education and related services available and provided to handicapped children across the nation.

2. Describe the effects student characteristics and school distinct practices and policies have on the transfer of students from special to regular education programs.

3. Describe the procedures used by states and by school districts for making decisions about the settings in which handicapped children will be educated and identify the standards used by judges and hearing officers in setting least restrictive environment disputes.

4. Describe administrative strategies which facilitate the successful inclusion of handicapped children in the least restrictive environment and provide technical assistance to state and local education agencies in implementing these strategies.

5. Examine the placement options available to handicapped secondary school students and compare the academic courses, nonacademic courses, vocational education opportunities, and after-school activities of handicapped and nonhandicapped secondary students. In addition, assist administrators in expanding program options and program flexibility for secondary students.

6. Describe the content and the quality of individualized education programs across the nation.

7. Examine the procedures used in urban school districts for evaluating students who have been referred for special education assessment. Identify strategies for increasing the efficiency of the assessment process and provide technical assistance to local education agencies in implementing these strategies.

8. Describe strategies for improving the procedures schools use in obtaining informed parental consent for special studies education assessment and placement decisions.

9. Provide technical assistance to state and local education agencies for improving child count and child find procedures, reducing individualized education program paperwork, and implementing interagency agreements.

10. Examine the procedures used by large, medium, and small school districts in financing special education in order to better understand the flow and use of P.L. 94-142 funds.

11. Evaluate the impact of P.L. 94-142 on the child and the family through the use of in-depth case studies.

12. Describe and evaluate the progress being made in implementing the provisions of P.L. 94-142.

Ongoing and Planned Evaluation:

An evaluation of this program is not planned.

Sources of Evaluation Data:

Office of Special Education and rehabilitative Services.

For further information about program information,

Contact: Slagle Allbritton
(202) 245-2381

For further information about studies of program effectiveness,

Contact: Eugene Tucker
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Vocational Rehabilitation Basic Grants

Legislation:

Rehabilitation Act of 1973, as amended
Title I, Parts A and B except Section 112

Expiration Date:

September 30, 1983

FUNDING HISTORY:

YEAR	AUTHORIZATION	APPROPRIATION
1966	$ 300,000,000	$ 160,500,000
1967	350,000,000	236,000,000
1968	400,000,000	287,000,000
1969	500,000,000	345,900,000
1970	600,000,000 1/	436,000,000
1971	700,000,000 1/	503,000,000
1972	700,000,000 1/	560,000,000
1973	800,000,000 1/	589,000,000
1974	650,000,000	650,000,000
1975	680,000,000	680,000,000
1976	720,000,000	720,309,000 2/
1977	740,000,000	740,309,000 2/
1978	760,000,000	760,472,000 2/
1979	808,000,000	817,484,000 3/
1980	880,000,000	817,484,000 3/
1981	945,000,000	854,259,000 3/
1982	899,000,000	Not Determined

1/ 1970, Revised ($500,000,000)
1971, Revised ($515,000,000)
1972, Revised ($580,000,000)
1973, Revised ($600,000,000)

2/ Includes an additional amount for North Dakota under a separate authorization.

3/ Includes additional amounts for Federal maintenance of effort under a separate authorization.

Program Goals and Objectives:

The purpose of this program is to provide assistance to States in the administration and operation of vocational rehabilitation programs designed to meet the current and future needs of handicapped individuals so that they may prepare for and engage in gainful employment. Handicapped individuals are persons who have a physical or mental disability which for such individuals constitutes or results in a substantial handicap to employment and who can reasonably be expected to benefit in terms of employability from vocational rehabilitation services. There is a statutory requirement for priority in the provision of services to severely disabled individuals.

Program Operations:

Grants to States are allocated on a formula basis involving population and per-capita income to conduct vocational rehabilitation programs. These programs are conducted by designated State agencies under an approved State plan. There is a 20 percent State fund matching requirement. The designated State operate statewide programs through district and local offices.

At the Federal level, program policy, leadership, and monitoring is the responsibility of the Rehabilitation Services Administration, including ten Regional Offices. Financial and statistical program reports are submitted to the Federal agency. Also, comprehensive individuals case data forms (converted in most instances to computer tape) are utilized for management information at the State and Federal level. In addition, as required by statute, program evaluation studies are scheduled each year, and State agencies have been assisted in establishing or improving program evaluation conducted by RSA with most direct and on-site contact being handled by the Regional Offices.

Although sole State agencies are required, an exception at State option allows for separate agencies to serve blind and visually handicapped individuals. Eligible individuals are those who meet the definition of "handicapped individual". Diagnostic and evaluation services are authorized to determine eligibility and the nature and scope of services needed. All services are provided in accordance with an Individualized Written Rehabilitation Program (IWRP).

Program Scope:

After a twenty-year rise starting in the mid-1950's, the number of persons served and rehabilitated per year has been decreasing in recent years. This has resulted from the priority to serve severely handicapped individuals for whom services are much more costly than for non-severely disabled persons, along with funding which has not kept up with inflation. During FY 1981, the proportion of severely handicapped to total persons served is expected to decline marking the first such decline in the five years for which this datum is available. A possible explanation is that the program has reached a saturation point with regard to the growth in services to severely handicapped persons caused by level funding and persistent increases in inflation.

The services authorized under the vocational rehabilitation program are any goods and services necessary to render a handicapped individuals employable, including, but not limited to, the following: (1) diagnostic and evaluation services, (2) counseling, guidance, referral, and job placement including follow-up and post-employment services necessary to maintain employment, (3) vocational and other training services, including personal and vocational adjustment, books, and other training materials, and services to the families of handicapped individuals when necessary to the adjustment or rehabilitation of the handicapped individuals when necessary to the adjustment or rehabilitation of the handicapped individuals, (4) physical and mental restoration, including but not limited to corrective surgery or therapeutic treatment, hospitalization, prosthetic and other orthopedic devices, special services for treatment of persons suffering from end-state renal disease, (5) maintenance, not exceeding the estimated cost of subsistence during rehabilitation, (6) interpreter services for deaf persons and reader services for blind persons, (7) recruitment and training services for new employment opportunities in certain health and public service areas, (8) rehabilitation teaching and orientation and mobility services for the blind, (9) occupational licenses, tools, equipment, and initial stocks and supplies, (10) transportation in connection with services, (11) telecommunications, sensory and other technological aids and devices, (12) services provided for the benefit of groups of handicapped individuals such as management services for the operation of small businesses by severely handicapped individuals, construction and establishment of rehabilitation facilities, the use of existing telecommunications systems, and the use of recorded material for the blind and captioned films or video cassettes for the deaf. Except for services (1) through (3), above, the State agency is required to make full consideration of eligibility for similar benefits under any other program before expending its own funds.

In 1981, there is a definite trend toward cost reduction, including controls which limit who shall be served under the program under the "order of selection" provision in the statute.

From the individual case service report (Form RSA-300), RSA prepares a characteristic report. Among the 26 tables in the latest such report for 1979 is one showing the major disabling conditions of persons rehabilitated. The following is a summary of that table.

Major Disabling Condition	Number	Percent
Total Rehabilitation - FY 1979	288,325	
Total Reporting Disability	286,172	100.0
Blindness	9,732	3.4
Other Visual Impairments	16,488	5.8
Deafness	7,308	2.6
Other Hearing Impairments	10,232	3.6
Orthopedic Impairments	60,008	21.0
Absence of Amputation	7,329	2.6
Mental Illness	58,136	20.3
Alcoholism	13,557	4.7
Drug Addiction	3,734	1.3

(continued):

Major Disabling Condition	Number	Percent
Mental Retardation	34,752	12.1
Diabetes	4,252	1.5
Epilepsy	5,400	1.9
Heart Disease	7,233	2.5
Digestive System Conditions	14,611	5.1
Genito-urinary Conditions	8,576	3.0
All Other	24,924	8.7

The mean cost of purchase services per rehabilitated person for three consecutive years is shown below. These are life-of-the-case costs and do not pertain to any particular fiscal year. Not included are costs which cannot readily be assigned to individual clients such as program administration, salaries of counselors, expenditures for construction, establishment of facilities, and other services for groups. They also do not include expenditures for services to individuals who were still on the rolls at the end of a year, nor costs for clients closed "not rehabilitated" during a year.

Fiscal Year of Rehabilitation Closure	Means Cost of Services for Rehabilitated Clients
1977	$1,137
1978	1,187
1979	1,258

Program Effectiveness and Progress:

Since the priority for severely disabled persons was established in 1973, there has been a steady increasing trend in the proportion of severely handicapped individuals among all clients served and rehabilitated. As previously mentioned, the lack of a continued increase (as projected) is thought to be the inevitable reaction to inflationary pressures. On the other hand, the total number of rehabilitations is expected to show a slight increase in FY 1981, reversing a three-year trend of decreases. These trends are shown as follows:

	1981 Projected[1]	1980	1979	1978
Persons rehabilitated, total	279,500	277,136	288,325	294,396
Severely disabled, rehabilitated	130,500	142,375	143,375	138,402
Percent severely disabled	47.0	51.4	49.9	47.0

Because of the availability of detailed individual client information on case service costs, wages at closure, etc., cost-benefit analyses are relatively easy in the vocational rehabilitation program as compared to other social service programs. Based on data projected from FY 1979, it is estimated that benefits in terms of improvements in earnings over a working lifetime for persons rehabilitated in FY 1979 amount to $11.00 for every $1.00 expended in the program on all persons, whether rehabilitated or not, whose cases were closed out that year. The same group of rehabilitated persons generate revenues for all levels of government plus savings in welfare payments that in four years will equal the total cost of rehabilitation for all cases closed that year.

Evaluation studies and analyses of the vocational rehabilitation program are too numerous to specifically summarize or list in this report. These include analyses of program data, studies conducted under the research and demonstration program (now NIHR), program administrative and management reviews conducted as part of annual RSA operational work plans, and contracted evaluation studies.

RSA recently completed a national 5-year evaluation follow-up of VR clients. A major findings was that these clients retained the benefits of rehabilitation overtime. Of major significance is the development over the past several years of a sophisticated Management Information System. It is currently in its final phase of development prior to pretest. This system will not only provide RSA with detailed, timely information, but also allow access to information and generation of reports, by State agencies, and provide other related functions.

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[1] Based on first quarter FY 1981 returns and subject to considerable variation by year's end.

Ongoing and Planned Evaluation:

Case Review Schedule Project
Management Control Project
Management Information System
Berkley Planning Associates Study on Program Standards
Evaluability Assessment
Functional Assessment of Handicapped People
R&D's
Evaluation Contracts
Facility Information System
Etc.

Source of Data:

RSA program data reports (plus computer tapes and printouts)
RSA program financial reports and data
Research reports (National Rehabilitation Information Center)
Reports by contractors (Office of Program Evaluation, RSA)

For further information about studies of program effectiveness,

Contact: Rodney Pelton
(202) 472-3014

Lawrence Mars
(202) 472-3796

or

Eugene Tucker
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Client Assistance Program

Legislation: Expiration Date:

P.L. 93-112, Section 112, Rehabilitation Act of 1973, as amended September 30, 1983

FUNDING HISTORY	YEAR	AUTHAUTHORIZATION	APPROPRIATION
	1974	$1,500,000	$ 500,000
	1975	2,500,000	1,000,000
	1976	2,500,000	1,000,000
	1977	2,500,000	1,000,000
	1978	2,500,000	1,000,000
	1979	1/	1,000,000
	1980	1/	3,500,000
	1981	1/	3,500,000
	1982	3,500,000	Not Determined

Program Goals and Objectives:

These projects are to provide ombudsmen who can assist handicapped persons to understand available benefits under the Rehabilitation Act, and to help overcome any difficulties such persons may be having with the vocational rehabilitation service delivery system. Projects may be operated only by or through the State Vocational Rehabilitation agency. Advice and information (plus transportation if needed) are the only services provided by project staff. Projects assist in getting any other appropriate services through existing programs.

In addition to helping individuals, projects are expected to make recommendations for policy and method changes within VR agencies as appropriate, which may be helpful to other clients in the future.

Program Operations:

Recipients of service from Client Assistance Projects must be (1) seeking VR services; (2) receiving VR services; (3) terminated from VR services and seeking help with some aspect of service. State VR agencies must retain administrative and financial responsibility for these projects but may subcontract aspects of day to day operation which are deemed to be advantageous for good management.

Program Scope:

The initial legislation (1973) called for projects to be "pilot" and to be geographical disbursed across the country. The 1978 amendments to the Rehabilitation Act removed the statutory limitation on the number of programs

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1/ Such sums as become necessary.

continued call for geographic distribution. The number of projects began with 11 in 1974 and has increased to 42 in operation currently. A project averages 200 clients served each year.

Program Effectiveness and Progress:

Individual project reports indicate that new projects frequently experience some administrative and professional resistance to ombudsman advocacy. This is overcome when the project staff demonstrates non-adversary principles and accomplishes problem resolution in relatively short periods of time.

Most projects employ "satisfaction" surveys of clients and VR counselors to ascertain their effectiveness. Non-standardized results indicate that projects are regarded favorably in areas of: (1) clarifying agency policy for client services; (2) clarifying client responsibility for participation in planning and carrying out their own service program; (3) resolution of formal grievances; (4) overcoming delay in getting services; (5) achieving more satisfying service outcomes and reduction of periferal interferences affecting VR goals; (6) modifying administrative policies which also may effect counselor effectiveness, and (7) improving VR agency image.

A national Data system for CAP has been developed which can be expected to provide information about the overall impact of these projects. To date, the relatively subjective evidence is that this ombudsman approach is useful and agencies are interested in perpetuating this method.

The number of states which desire to operate these projects rose from 20 to 36 (in 1979) after the law was amended (Rehabilitation Amendments of 1978), permitting expansion following the pilot phase. Several projects have increased their coverage and outreach to become statewide and some states have continued projects without Federal funding. It is anticipated that virtually all states will eventually institutionalize this concept into the basic service delivery system.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

RSA Budget document and the Annual Report to the President.

For further information

Contact: Rodney Pelton
(202) 472-3014

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name: Rehabilitation Training

Expiration Date: September 30, 1983

Legislation:

Rehabilitation Act of 1973, as amended; Section 304(a) and Section 12(a) of the Act.

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1966	1/	$ 24,800,000
	1967	1/	29,700,000
	1968	1/	31,700,000
	1969	1/	31,700,000
	1970	1/	27,700,000
	1971	1/	27,700,000
	1972	1/	27,700,000
	1973	$50,000,000	27,700,000
	1974	27,700,000	15,572,000
	1975	27,700,000	22,200,000
	1976	32,800,000	22,200,000
	1977	25,000,000	30,500,000
	1978	30,000,000	30,500,000
	1979	34,000,000	30,500,000
	1980	40,000,000	28,500,000
	1981	45,000,000	21,675,000
	1982	25,000,000	Not Determined

Program Goals and Objectives:

Rehabilitation training grants are authorized by Section 304(a) of the Rehabilitation Act of 1973, as amended, to ensure that skilled workers are are available to provide the broad scope of vocational services needed by severely handicapped people served by State and other vocational rehabilirehabilitation agencies and rehabilitation facilities.

Program Operations:

Grants may be made to and contract may be made with States and public or non-profit agencies and organizations, including institutions of higher education, to pay part of the cost of projects for training, traineeships and related activities.

1/ Such sums as may be necessary.

Program Scope:

Grants awarded under the rehabilitation training program include:

1. Long-term training[1] in the broad range of established rehabilitation professional fields identified in the Rehabilitation Act, including rehabilitation medicine, rehabilitation nursing, rehabilitation counseling, rehabilitation social work, rehabilitation psychiatry, rehabilitation psychology, physical therapy, occupational therapy, speech pathology and audiology, rehabilitation facility administration, prosthetics and orthopedics, therapuetic recreation, vocational recreation, vocational evaluation and work adjustment, rehabilitation job placement and job development, specialized training in providing services to the blind, the deaf and the mentally ill and training in other fields contributing to the rehabilitation of severely handicapped people;

2. Experimental or Innovative training projects which are designed either to train new types of rehabilitation manpower or to demonstrate innovative training techniques;

3. Short-term training workshops, seminars, institutes of other short courses in areas of special priority to the State/Federal vocational rehabilitation service program;

4. Continuing education programs to upgrade the skills of rehabilitation workers employed in both public and voluntary rehabilitation agencies, and

5. In-service training for State vocational rehabilitation agency personnel, in program areas essential to the effective management and operation of the State service program and in skill areas which will enable personnel to improve their ability to provide service to the severely handicapped.

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[1] This category also includes Interpreters for the Deaf. Although authorized under the Rehabilitation Act of 1973, this program is not intended to focus only on the vocational rehabilitation needs of deaf persons but also to train interpreters who can assist deaf persons in health, education, employment, and other social service

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Programmatic and fiscal data are presented in the following tables.

Table A: FISCAL YEAR 1980

Categories	Amount Awarded	Number of Grants
Grand Total	$28,456,374	456
Long-Term Training	20,183,741	335
Continuing Education	3,017,284	15
Experimental Innovative	1,317,273	18
In-Service Training	3,151,151	78
Short-Term Training	30,175	2

Table B: Program/Fiscal Data, FY 78-80

	1978 Total Funds (thousands)	1979 Total Funds (thousands)	1980 Total Funds (thousands)	(Est.) Number of Projects	(Est.) Number of Trainees
LONG-TERM TRAINING IN ESTABLISHED REHABILITATION DISCIPLINES					
Rehabilitation Counseling	$7,860	$ 5,862	$ 6,262	80	930
Rehabilitation of the Blind	793	868	855	9	100
Rehabilitation of the Deaf	1,128	1,026	687	10	110
Rehabilitation Facility Administration	1,488	1,620	1,614	13	620
Vocational Evaluation	750	902	883	10	220
Undergraduate Education for Rehabilitation Services	809	878	554	27	-
Rehabilitation Medicine	4,275	3,896	3,256	56	305
Occupational Therapy	565	529	388	24	100
Physical Therapy	618	655	561	26	125
Prosthetics-Orthotics	954	1,048	1,322	7	180
Speech Pathology and Audiology	1,589	1,351	1,311	50	220
Interpreters for the Deaf			900		
Other	1,245	1,996	1,590	16	320
Sub Total	$22,074	$20,631	$20,184	328	1,230
EXPERIMENTAL AND INNOVATIVE TRAINING	$ 690	1,622	1,317	18	190
STAFF DEVELOPMENT AND TRAINING FOR EMPLOYED REHABILITATION WORKERS					
Rehabilitation Continuing Education Programs	2 ,658	3,171	3,017	18	2,365
	2 ,593	2,792	3,151	78	-
	$28,015	$28,216	$27,669	442	5,785
Short-Term Training	2,262	1,846	757	54	1,850
RESEARCH FELLOWSHIPS	109	97	30	7	7
GRAND TOTAL:	$30,386	$30,159	$28,456	503	7,642

Program Effectiveness and Progress:

In FY 1980 long-term training program emphasis continued to be placed on improving the quality of ongoing training projects in each professional field and ensuring that all projects reflected a direct and substantial focus on preparation or personnel for the provision of rehabilitation service to severely handicapped persons.

Training projects in the field of rehabilitation counseling not only continued to emphasize service to the most severely disabled individuals, but also focused on improving the preparation of counselors for assuming professional responsibility for the job placement of clients as well as developing skills in the areas of job analysis and job development. Training projects in such health related rehabilitation fields as physical therapy, occupational therapy, therapeutic recreation and speech pathology and audiology provided a special opportunity for student exposure to the State/Federal vocational rehabilitation program and the vocational rehabilitation process.

Special Innovative Training:

A number of special innovative training projects were supported in 1980 demonstrating new approaches for training rehabilitation workers. Among these special innovative projects were the following:

-- A project at the University of Virginia for the training of rehabilitation engineering personnel;

-- A project at Boston University for the training of rehabilitation counselors in industry-based settings;

-- A project at 916 Vo-Tech Institute in Minnesota for the development of special training materials for prosthetists and orthotists;

-- A project at Memorial Hospital in Providence, Rhode Island for exposing family practitioners to the principles of rehabilitation medicine;

-- A project at the University of Guam for the training of rehabilitation counselors uniquely qualified to meet rehabilitation service needs in Guam and the Pacific Islands;

-- A project at the Navajo Community College to train Navajo persons to assume professional counselor responsibilities in serving handicapped American Indians; and

-- A group of interrelated training projects at Franklin Institute and the University of Washington for training dentists and dental support personnel skilled in providing dental services to severely handicapped persons.

State Vocational Rehabilitation Agency In-Service Training:

Training supported under the State vocational rehabilitation agency in-service training grant program focuses primarily on program areas esential to each agency's immediate operation including training to correct deficiencies identified in audits and other studies of the State program. Seventy-eight grants were awarded to State agencies in 1980 and training emphasis was on such areas as: (1) the implementation of new State plan requirements under the 1978 Rehabilitation Act Amendments, (2) improved management in the areas of program planning, monitoring and evaluation; (3) improved use of preliminary and thorough diagnostic information in order to determine eligibility for services and the nature and scope of services to be provided; (4) improving the use of similar benefits; severely disabled individuals; and (6) improving State utilization of rehabilitation facilities.

Rehabilitation Continuing Education Programs:

The Rehabilitation Continuing Education Programs train newly employed personnel in basic knowledge and skills and assist experienced personnel to upgrade skills and develop mastery of new developments in the field of rehabilitation. The Rehabilitation Continuing Education Programs also provide training for staff of private rehabilitation agencies and facilities. The training provided under this program focuses on meeting needs common to a multi-State geographical area. Training priorities in 1980 considered improvement in the use of rehabilitation facilities and expanding the use of Case Review system for improved administration, case documentation, and case service practice. Other priorities during 1980 were in areas such as program and financial management, advocacy, legal rights, utilization of special diagnostic processes, and increasing services to handicapped individuals from minority groups.

Rehabilitation Short-Term Training:

In FY 1980, the rehabilitation short-term training program was administered under a General Plan which identified priorities for short-term of national scope.

Among the short-term programs of national scope, the following grants in FY 1980 were awarded:

-- A project conducted by the American Coalition of Citizens with Disabilities, concerned with the coordination of vocational rehabilitation, vocational education and special education services and the development of a coordinated policy and programming for the delivery of vocational rehabilitation services to school-aged handicapped individuals with special emphasis on the coordination of Individualized Written Rehabilitation Program and Individualized Education Programs development;

-- A project conducted by Access, Inc., focusing on improving for Hispanic clients of State vocational rehabilitation agencies through increased understanding of the psychosocial characteristics of Hispanics;

-- A project conducted by the University of Wisconsin focusing on problems relating to transportation, accessibility and generic mobility training of severely handicapped individuals specially as these problems affect independent living;

-- A project conducted by San Diego State University to provide awareness and knowledge building regarding learning disabled individuals and intensive skills building focusing on diagnostic procedures and individual rehabilitation program implementation strategies;

-- A project conducted by the University of Maryland for State Rehabilitation Facility Specialists in such areas as developing a State facility plan evaluating facility performance, and determining vocational rehabilitation agency role in the developlopment of community living centers; and

-- A project conducted by the Arizona Association of Rehabilitation Facilities to improve professional practice skills in serving the multiple handicapped minority deaf population, particularly with the rural deaf population.

Ongoing and Planned Studies:

In 1981 JWK International completed an evaluative study of the program entitled "An Assessment of the Impact of Rehabilitation Training Grant support in Selected Areas of Academic and Non-Academic Training on Improving the Effectiveness of the Vocational Rehabilitation Service Delivery System."

Source of Data:

Data for information in this report has been, in part, compiled from the Trainee Appointment Statement Form RSA-II, used in the RSA Training Grant Program.

Further information about program on evaluation activities;

Contact: Harold F. Shay
(202) 245-0079

or

Eugene Tucker
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Comprehensive Rehabilitation Centers

Legislation:	Expiration Date:
Section 305 of the Rehabilitation Act of 1973, as amended	September 30, 1983

FUNDING HISTORY:	YEAR	AUTHORIZATION	APPROPRIATION
	1980	Such sums as necessary	$ 2,000,000
	1981	Such sums as necessary	1,820,000

Program Goals and Objectives:

The purpose of this program is to establish a focal point within a community for coordination of the delivery of services to handicapped persons. A comprehensive rehabilitation center under this program may be a single facility providing direct services, a group of facilities in a community community coordinating its efforts to insure maximum availability of services and to prevent gaps in services, or a community facility which coordinates services or serves primarily as an information and referral resource but does not itself provide services to handicapped persons.

Since the concept of a comprehensive rehabilitation center is a flexible one, it may be a combination or variety of any of those facilities which the which the community determines will best enable handicapped persons to receive needed services from all the resources available. In addition to serving as a primary information and referral resources, the center may may either provide services directly or it may enable handicapped persons receive a broad range of services as interpreters for the deaf, readers for the blind and legal assistance, from other service providers. Technical assistance to community agencies and facilities concerning Section 504 of the Rehabilitation Act should also be made available through the Comprehensive Rehabilitation Center.

Program Operations:

Only State vocational rehabilitation units may apply for these grants. A State vocational unit which has been awarded a grant under this program may apply for these grants. A State vocational unit which has been awarded a grant under this program may award a subgrant to a unit of general purpose local government or to any other public or nonprofit private agency or organization or enter into a contract with other agencies or organizations in the community.

Rehabilitation Services Administration (RSA) is responsible for the administration of this program. Applications are initially submitted by State Divisions of Vocational Rehabilitation and subjected to a peer review process which recommends approval of the most appropriate projects.

Since only a limited number were available in FY 81, ten (10) awards were distributed nationwide, one project in each region. Awarded in FY 81 were one to Regions, I, II, IV, V, VI, VII, VIII and two in Region III. None were awarded in Region X because no applications were submitted.

All participating State Divisions of Vocational Rehabilitation submit a progress report expenditure report at the end of the year as part of their continuation application.

Program Scope:

In FY 81, $1.82 million was allocated to 10 projects located in the States of Arkansas, California, Florida, Iowa, New Jersey, Pennsylvania, Rhode Island, Utah, Virginia and Wisconsin. More than 10,000 handicapped clients have benefitted, with individual projects expanding into developing such services as dental, health, and placement for this population.

Program Effectiveness and Progress:

Early indications are that the most severely handicapped and those who have not been previously served are now being brought into the system. For example, the Los Angeles project is developing a referral system for the specialized medial and dental needs of the severely handicapped population as most physicians and dentists do not have the capability to service this as most physicians and dentists do not have the capability to serve this group.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

Rehabilitation Services Administration

For further information on program operation or effectiveness,

Contact: Rodney Pelton
(202) 245-0249

or

Eugene Tucker
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Special Projects and Demonstrations for Providing Vocational Rehabilitation Services to Severely Handicapped Individuals.

Legislation:

Title III, Section 311(a)(1) of the Rehabilitation Act of 1973 (P.L. 93-112) as amended by the Rehabilitation, Comprehensive Services and Developmental Disabilities Amendments of 1978 (P.L. 95-602)

Expiration Date:

September 30, 1983

FUNDING HISTORY	YEAR	AUTHORIZATION 1/	APPROPRIATION
	1974		$ 1,000,000
	1975		1,295,000
	1976		2,700,000
	1977		4,099,000
	1978		7,048,000
	1979		7,048,000
	1980		9,568,000 2/
	1981		10,580,000
	1982		Not Determined

Program Goals and Objectives:

The purpose of this program is to support demonstration projects which expand or improve the delivery of rehabilitation services to severely disabled individuals to assist them in achieving satisfactory vocational adjustment. Projects serve those with general disabilities as well as those with specific disabilities; such as mental retardation, mental illness, multiple sclerosis, spinal cord injury, etc.

Program Operations:

This is a small discretionary program in which public or private nonprofit agencies and organizations are eligible to compete for grant awards. Decisions among proposals submitted by applicants for these funds are determined through a peer review process which bases its judgements upon relevant criteria published in the Federal Register. Project monitoring by Federal staff assesses adherence to originally funded project/program objectives. Information about the project(s) is disseminated by the project and the Rehabilitation Services Administration.

1/ Such funds as may be necessary.

2/ $12,500 reprogrammed to National Council on the Handicapped.

Program Scope:

Project activities are aimed at meeting unique needs of distinct disability groups in utilizing rehabilitation services or in meeting needs common to all severely disabled persons. Coordination of existing services to more effectively reach this target group, as well as outreach and support activities to those who are not eligible or yet receiving rehabilitation services are elements in these projects.

During the first three years (FY 74-76) that this grant program was in operation, projects served persons who were blind/deaf, or spinal cord injured. In subsequent years, projects initiated services to the broad range of categories of severely disabled, including subcategories such as severely disabled Hispanics. The table below gives details of funding, numbers served, and disability areas covered during FY 1981.

	FY 1981		
Disability	(000) Funding	(000's) Projects	Served
Arthritis	$ 280	2	50
Blindness	370	4	375
Cerebral Palsy	280	3	100
Deafness	240	3	150
Epilepsy	390	3	150
Heart Disease	125	1	25
Mental Illness	660	6	250
Mental Retardation	390	3	100
Multiple Sclerosis	400	3	150
Spinal Cord Injury	5,500	17	1,350
General	1,945	17	1,300
TOTAL	$10,580	62	4,050

Program Effectiveness and Progress:

No formal evaluation, apart from required annual project progress reports and final reports upon project termination, has been made of the overall program effectivenss. However, it is possible to make the following general statements:

- The program has expanded from demonstrations which served blind, deaf, and spinal cord injured persons to demonstrations for a wide array of disabilities and for the severely disabled in general.
- Interventions demonstrated by the projects have resulted in reports of substantial numbers of severely disabled persons, in all categories, becoming eligible for and benefitting from vocational rehabilitation services.

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- Frequently successful project methods and techniques are incorporated into State vocational rehabilitation agency programs sustained with non-Federal dollars and used in part or whole throughout a State.

- Demonstrations with 42 severely disabled elderly blind persons in Virginia provided services to those persons in the community for $186,069, a cost savings of $131,709 over the total cost of a nursing home.

- Seventeen model spinal cord systems have been initiated throughout the country resulting in more effective services by State vocational rehabilitation agencies, private rehabilitation facilities and medical institutions. A national coordinating center for retrieval and analysis of standardized data has been established as part of the model system in Phoenix, Arizona, at Good Samaritan Hospital.

Ongoing and Planned Education Studies:

A contract to the Berkeley planning Associates, Berkeley, California, awarded in 1979 is expected to develop a system for evaluating RSA discretionary projects and programs. The proposed design calls for established standards for project planning, for project reporting, and for outcome evaluations.

Source of Evaluation Data:

Rehabilitative Services Administration

For further information on the program operation and effectiveness,

Contact: Rodney Pelton
(202) 245-0249

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Special Projects and Demonstrations for Making Recreational Activities Accessible to Handicapped Individuals

Legislation:

Section 311 (a) (3) of the Rehabilitation Act of 1973 as amended.

Expiration Date:

September 30, 1983

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1981	Such sums as necessary	$ 1,000,000
	1982	$ 2,000,000	Not Determined

Program Goals and Objectives:

This program provides financial assistance for the support of special projects and demonstrations, and related research and evaluation, concerned with operating programs to demonstate methods of making recreation activities fully accessible to handicapped individuals, including the renovating and construction of facilities, where approrpriate. To the greatest extent possible, existing facilities for the provision of recreation activities are expected to be utilized so that the need for the renovation or construction of facilities can be avoided. Activities carried out under this program must focus on as broad a range of recreation activities as is appropriate to the geographical area, including indoor and outdoor recreation activities; competitive, active, and quiet recreation activities; social activities; and recreational related to the fine arts. These activities may include but are not limited to arts, camping, dance, drama, fitness, 4-H, scouting, sports, swimming, travel, and other related recreation activities. These projects must demonstrate innovative ways in which recreational activities can be made fully accessible to handicapped individuals, with special emphasis on those who are the most severely handicapped.

State and public and other nonprofit agencies and organizations are eligible for grants under this authority.

Program Operations:

Federal funds under this program will be advance funded, appropriated in one fiscal year for obligation and expenditure in the succeeding fiscal year.

Program Scope:

In Fiscal Year 1981, $1,000,000 are expected to fund five new grants ranging from approximately $50,000 to $250,000.

Program Effectiveness:

In Fiscal Year 1981, $1,000,000 are expected to fund five new grants ranging from approximately $50,000 to $250,000.

Since this is the first year of funding, no information on program effectiveness, service delivery etc. is available.

Ongoing and Planned Evaluation Studies:

None

Source of Evaluation Data:

None

For further information on program operations and effectiveness,

Contact: Rodney Pelton
(202) 245-0249

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Special Projects for Handicapped Migratory and Seasonal Farmworkers

Legislation:

Rehabilitation Act of 1973, Section 312 as amended by Public Law 95-602 Section 312.

Expiration Date:

September 30, 1983

FUNDING HISTORY:	YEAR	AUTHORIZATION 1/	APPROPRIATION
	1974	$ 735,000	$ 735,000
	1975	735,000	735,000
	1976	820,000	820,000
	1977	530,000	530,000
	1978	1,530,000	1,530,000
	1979	1,530,000	1,530,000
	1980	1,530,000	1,530,000
	1981	1,530,000	1,325,000
	1982	2/	Not Determined

Program Goals and Objectives:

This program is designed to provide vocatiosnal rehabilitation services to handicapped in migratory agricultrual and seasonal farmworkers, and to members of their families who are with them, whether or not handicapped, when such services contribute to the rehabilitation of the agricultural workers. The goal of these demonstration projects is to provide vocational rehabilitation services to migratory workers which will enable them to acquire new work skills and thereby become qualified to obtain employment in other areas, or "settle out" (obtain permanent employment) and leave the migrant stream; or to provide treatment necessary for the client to continue as a migratory or seasonal farmworkers.

Program Operations:

The Rehabilitation Services Administration is responsible for the Federal administration of this program in cooperation with the appropriate Regional offices. State VR agencies are grantees for this program and have responsibility for administrative and financial supervision of these projects but may sub-contract to appropriate organizations certain project operations, if feasible.

1/ The authorization ceiling is $5,000,000 for each fiscal year; 5% of the amount appropriated for Part B, Title III projects is

2/ Authorization of $12,210,000 to be shared by Sections 310, 311, 312, 314, and 315.

The Program is administered by the RSA Central Office in cooperation with the appropriate Regional Offices. Regional Officers monitors projects and site visits are made to projects by Central Office Project Officers and Regional Office representatives. The State agency also monitors projects in accordance with their monitoring systems.

Clients receiving services must be handicapped migratory or seasonal farmworkers.

Program Scope:

State Rehabilitation agencies are grantees for these projects. In FY 80, the appropriation for this program was $1,530,000. This amount supported 14 projects located in 13 States (2 projects in Texas) and Puerto Rico; when programs started in 1974 only 7 projects were established. Funds are awarded on a 90% Federal, 10% State basis. Maintenace payments are consistent with payments made to other handicapped individuals in the State under the Rehabilitation Act.

Around 2,100 persons are being served by projects. Mexican American workers compose the majority of the target population served by 12 projects. In the remaining projects one serves primarily black handicapped migratory and seasonal farmworkers the other serves primarily Puerto Rican farmworkers.

Program cooperates with Department of Labor, Migrant Education, and Public Health Service.

Through these special projects comprehensive vocational rehabilitation services are made available. These services include a heavy emphasis on outreach, specialized bi-lingual counseling, physical/mental restoration prevocational adjustment vocational training and job placement. Because of the high mobility rate of the clients and their remote rural employment, it is not always possible to complete the entire rehabilitation process, or provide VR services in the traditional manner.

Program Effectiveness and Progress:

1. State agencies have absorbed and incorporated some projects into their ongoing operations.

2. A "tracking system" was established May 1981 through a cooperative arrangement with the Migrant Student Record Transfer System. This enables VR services to be continued as clients move from job to job.

3. Projects have been successful in developing innovative methods and techniques to assist this target population. Clients have been treated for disabilities of long duration and have been aided in their vocational adjustment; some have moved into other occupations.

4. Annual conference enables Project Directors to consider and develop effective methods to improve project operations.

Ongoing and Planned Evaluation Studies:

State agencies assess program operations. Central Office project Officer monitors project operations through site visits accompanied by Regional Office representatives. Project Directors are currently developing an evaluation procedure for consideration by Central and Regional Offices.

Source of Evaluation Data:

Rehabilitation Services Administration

For further information about program operations,

Contact: Roberta Church
(202) 245-0890

For further information about program effectiveness,

Contact: Eugene Tucker
(202) 245-8380

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Helen Keller National Center for Deaf-Blind Youth and Adults

Legislation:

Section 313(a) of the Rehabilitation
Act of 1973, as amended

Expiration Date:

September 30, 1983

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1969	$ 1/	$ 600,000
	1970		570,000
	1971		3,100,000 2/
	1972		600,000
	1973	5,600,000	5,600,000 3/
	1974	600,000	600,000
	1975	2,000,000	2,000,000
	1976	2,100,000	2,100,000
	1977	2,100,000	2,100,000
	1978	2,500,000	2,500,000
	1979	2,500,000	2,500,000
	1980	2,500,000	2,500,000
	1981	3,500,000	3,200,000
	1982	3,500,000	Not Determined

Program Goals and Objectives:

The Helen Keller National Center (HKNC) was created by Congress and charged with three major responsibilities: (1) provision of comprehensive services to the most severely disabled and disadvantaged deaf/blind youths and adults in the nation; (2) train personnel to work with deaf/blind persons and their families; and (3) conduct research to develop training techniques, innovative social services and special aids and devices.

Program Operations:

Section 313 of the Rehabilitation Act authorizes an agreement with any public or nonprofit agency or organization for establishing and operating, including construction and equipment, a center for vocational rehabilitation of handicapped individuals who are both deaf and blind. That center is known

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1/ Congress did not authorize specific funding for HKNC operations until FY 1973

2/ FY 1971 $600,000 for operations; $2,100,000 construction funds

3/ FY 1973 $600,000 for operations; $5,000,000 construction funds as the Helen Keller National Center for Deaf/Blind Youths and Adults. The Center has one main facility at Sands Point, New York, where deaf-blind individuals are referred from all 50 states through HKNCs network of nine regional offices.

Program Scope:

The Center serves 50 trainees at its main facility and provides referral and counseling to another 880 deaf/blind persons through its regional offices. The Helen Keller National Center is the only center of its kind in this country that provides comprehensive rehabilitation services to deaf/blind individuals. As a result of the training received at the National center, trainees were placed in professional employment, sheltered workshops, returned to school and a few are currently awaiting employment.

The Center's research program continues to concentrate on the development and testing of aids and appliances which will enable deaf-blind persons to lead improved social and economic lives. The program is also intensely involved in initiating new research and demonstration efforts necessary to extend and expand services to people who are deaf/blind. An example of the result of research is Telebraille, a system designed at the Center for transmitting braille was made between Chicago, Illinois and the Helen Keller National Center. The research program at the National Center is currently in the process of modifying the system as a result of the input of deaf/blind

Program Effectiveness and Progress:

None

Ongoing and Planned Evaluation Studies:

A joint effort between RSA and the Office of Special Education is being planned to evaluate the needs and availability of services to deaf/blind individuals. The contract will be awarded in FY 81 or 82.

Source of Evaluation Data:

None

For further information about program operation and effectiveness,

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(202) 472-3014

292 through 295

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Projects With Industry

Legislation:

Section 621 of the
Rehabilitation Act
of 1973, as amended

Expiration Date:

September 20, 1983

FUNDING HISTORY:

YEAR	AUTHORIZATION	APPROPRIATION
1970	1/	$ 900,000
1971		2,000,000
1972		1,000,000
1973		1,000,000
1974		1,000,000
1975		1,000,000
1976		1,000,000
1977		3,619,000
1978		4,500,000
1979		4,500,000
1980		5,500,000
1981		5,250,000
1982	$ 8,000,000	Not Determined

Program Goals and Objectives:

Projects with Industry (PWI) provide handicapped individuals with training, employment, supportive services, and assistance within business, industry, or other realistic work settings in order to prepare them for competitive employment and to permit them to secure and maintain employment.

The Projects with Industry program is focused on the establishment of a partnership arrangement between the rehabilitation community and the private sector in order to expand vocational training and job opportunities for handicapped people. A major objective of the program is to enlist the support of business, industry, and organized labor and utilize their management, leadership and technical expertise.

It is a major private business initiative involving corporations, labor organizations, trade associations, foundations and voluntary agencies which operate through a partnership arrangmenet with the rehabilitation community to create as well as expand job opportunities for handicapped people in the open competitive market. As part of this program, training is provided for jobs in a realistic work setting, generally within a commerical or industrial establishment coupled with supportive services to enhance pre- and post-employment success of handicapped people in the marketplace.

1/ Such sums as may be necessary.

Program Operations:

This program utilizes a cooperative financial arrangement to link RSA and private employers as well as other entities, both profit-making and non-profit, in a partnership effort to facilitate the training and placement of handicapped people in the private competitive marketplace.

New applications are subject to the RSA peer review process. It is a discretionary program operated at the national level.

Program Scope:

The PWI program is a national network in which private business and industry, labor unions, rehabilitation facilities, and trade associations work together with State VR agencies to train handicapped people for employment in the private competitive marketplace.
The program is national in scope with projects strategically located in areas providing realistic opportunities for jobs. The more than 50 projects affiliated with major corporations and unions serve the blind, the deaf, mentally retarded, and physically disabled individuals.

The projects averaged $100,000 in Federal funds wtih additional resources being contributed by the private sector in both funds and manpower.

Placement costs to the Federal government average $1000 per handicapped person, not including other resources contributed by State VR agencies and the private sector.

Program Effectiveness and Progress:

Since the inception of the PWI program in the 1968 Amendments to the VR Act, nearly 50,000 handicapped individuals have gained jobs in private competitive employment.

- In 1980, more than 5,500 people obtained permanent employment through this program, acquiring jobs ranging from entry level occupations to skilled and highly technical as well as managerial.
- Computed on a full-year basis, these 5,500 individuals will earn a minimum of $35 million during FY 1981.
- PWI clients trained and placed under the direction of the Electronic Industries Foundation earn an average of $10,739 per year.
- PWI clients trained and placed in all projects earn salaries beginning with $7,000 to $30,000 depending upon their level of training and specialized skills.

- PWI clients trained and placed under the PWI project conducted by AFL/CIO (Human Resources Division) earn an average of $12,150 per year; the range of $6,864

- Private business and industry contribute not only the mandated 20 percent matching rate requirement but more importantly provide executive management direction and other important administrative and professional services.

- PWI projects are evaluated and funded in general by measuring productivity and cost/effectiveness factors (e.g. the product is the placement of the client in a job and the cost of the placement is determined by dividing the number of placements into the total amount of the Federal grant (100 placements for $100,000 equals $1,000 per placement).

Ongoing and Planned Evaluation Studie:

None

Source of Evaluation Data:

Rehabilitation Services Administration

For further information on program operation or effectiveness

Contact: Thomas Fleming
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or

Eugene Tucker
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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Centers for Independent Living

Legislation:	Expiration Date:
Rehabilitation Act, Title VII, Part B, Section 711, Rehabilitation Act of 1973, as amended (P.L. 95-602)	September 30, 1983

FUNDING HISTORY:	YEAR	AUTHORIZATION	APPROPRIATION
	1979	$ 80,000,000	$ 2,000,000
	1980	150,000,000	15,000,000
	1981	200,000,000	18,000,000
	1982	19,400,000 1/	Not Determined

Program Goals and Objectives:

This program provides discretionary grants to establish and operate Centers for Independent Living, which are described as facilities offering a combination of Rehabilitation services in order that severely handicapped individuals may live more independently in family and community, or secure, and maintain employment. A key feature of the program is the substantial involvement of handicapped individuals in policy direction and management of Centers which are established.

Program Operation:

The principal eligible applicant for grants under this program is the designated State Unit which administers the Title I Vocational Rehabilitation Program (or units in States having one agency serving blind individuals and one serving all other handicapped individuals). However, should the designated State unit(s) not apply in any fiscal year within six months after the date which applications are accepted, applications may then be accepted from local public or private nonprofit agencies.

In Fiscal Year 1981, the second year of operation of this program, awards have been made to 59 grantees. Seven of these were grants to local organizations; the remainder to 38 general agencies; 10 blind agencies; and four in response to joint applications submitted by the general and blind agencies in those States. Forty-one of the State units have chosen to contract with one or more local private nonprofit organizations so that 122 sites receive support in whole or in part through this program.

Services are keyed to meeting the needs of the severely disabled to live more independently in family and community. The Act establishes priority for service to individuals not receiving services under other sections of the Rehabilitation Act. The grants are small, averaging $250,000 each; each local

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1/ Part B only

Program Scope:

program extends the range of services available for severely disabled persons through case and program advocacy at the local level.

Ten awards were made late in Fiscal Year 1979; 49 new awards were made in Fiscal Year 1980. As a consequence, only ten projects have had much as one full year's experience.

Continuation applications show that most projects have developed a set of services specified in the enabling legislation. Some of the local sites focus on a single disability, e.g., mental retardation, mobility impaired, or physically disabled; however, most are attempting to make available the services that are in place to a wide variety of disabling conditions.

There is not at this time any prescribed reporting format or requirement that data be collected and reported in terms of disabilities served, services provided, and other such characteristics. Nonetheless, most projects are developing, or have in place, data collection systems responsive to their own needs.

Program Effectiveness and Progress:

There is no system in place to evaluate the effectiveness of this program on a national basis. However, most projects have in place, or are developing systems to evaluate their own operations both in terms of management effectiveness, and benefit to severely disabled persons who receive services.

Ongoing and Planned Studies:

An Evaluability Assessment of this program has just been completed by the American Institute for Research under contract to the Department of Education. This Evaluability Assessment has concluded that there exists substantial agreement by policy makers and program operators in the goals of the programs. They found that all programs were operational, even those funded only a short-time. Staff were predominately disabled in most Centers. Consumers were involved in management and policy development. The Centers have initiated direct services to clients, referrals of clients to other agencies, and are working to influence the community. They note that Centers could typically provide evaluative/operational data on staff size and responsibility; disabled staff and their roles; sources of funding other than Part B; number served, their disabilities, services, demographics, service plans and indications of plan achievement; contacts with other resources including efforts to secure further funding; and many can supply detailed information about client needs, resources independence status (e.g., living arrangements), and gains. The Evaluability Assessment notes further efforts most needed include systematic, consistent national data collection; systematic sharing of information/methods/materials; streamlined policy making procedures; and help for new Centers in business and personnel management.

The Management Information System (MIS) being developed by the Rehabilitation Services Administration for all its programs includes functional assessment indicators and status indicators which should be of use in evaluation of the impact of Independent Living services in assisting severely disabled persons live more independently.

This MIS is currently undergoing preliminary field testing.

Sources of Evaluation Data:

No national data are collected on a uniform basis at this time. Narrative reports, supported in most cases by tabular data, are contained in continuation applications submitted for year three (10 grantees), year two (49 grantees).

For further information about program operations, and program effectiveness,

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or

Eugene Tucker
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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

National Institute of Handicapped Research

Legislation:	Expiration Date:
Rehabilitation Act of 1973 (P.L. 93-112) as amended by P.L. 95-602, Titles II	September 30, 1983

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1963	$ 1/	$ 12,200,000
	1964	1/	17,780,000
	1965	1/	20,443,000
	1966	1/	28,345,000
	1967	1/	30,625,000
	1968	1/	32,213,000
	1969	1/	31,700,000
	1970	1/	29,764,000
	1971	1/	31,635,000
	1972	1/	31,696,000
	1973	1/	19,846,000
	1974	25,000,000	20,096,000
	1975	25,000,000	20,000,000
	1976	32,000,000	24,000,000
	1977	30,000,000	29,000,000
	1978	30,000,000	31,500,000
	1979	50,000,000	31,500,000
	1980	75,000,000	31,487,500
	1981	90,000,000	29,750,000
	1982	35,000,000	Not Determined

Program Goals and Objectives:

The overall goals is to provide a comprehensive, coordinated approach to the conduct of research, demonstrations, and related activities on behalf of handicapped persons, in accord with a plan for rehabilitation research developed under this Act. Research, demonstrations, and related activities are conducted by making grants and awarding contracts to develop knowledge that will improve rehabilitation services to handicapped persons.

The Institute also:

o Disseminates all the R&D information thus developed on rehabilitation procedures, methods, and devices designed to help handicapped persons live more independently.

1/ No established authorization

- Develops and improves technological devices and equipment and distributes and otherwise makes these devices available to handicapped persons.

- Coordinates, through the Interagency Committee on Handicapped Research established by Section 203 of the Act, all Federal programs and policies relating to research in rehabilitation; and in doing this, works with and under the guidance of the National Council on the Handicapped Handicapped, established by Title IV of the Act.

- Produces, in conjunction with other Federal agencies and Departments, statistical reports and data on the employment, health, income, and other demographic characteristics of handicapped persons; disseminates such information to rehabilitation professionals and other relevant persons; and uses this information to help plan and evaluate all rehabilitation research and services.

- Develops and submits to Congress and the President a Long-Range Plan that will identify research needing to be done, funding priorities for it, and timetables for doing the research.

Program Operations:

Research may be conducted on all major disabilities and all aspects of rehabilitating disabled persons. These research activities are composed in part of "Center" program, each with a broad "core area" of investigation. Such program include Research and Training Centers (24), Rehabilitation Engineering Centers (15) and a smaller number of Rehabilitation Research Institutes (RRIs). In addition, there are individual grant award projects, each of which works on a narrower, more specific problem. A certain number of these grant awards are for international research, which strives mainly to develop and find overseas rehabilitation practices that are innovative and usable in the U.S. The remainder may range over any of the categories of impairment and rehabilitation.

In all projects and programs, the dissemination and use of the R&D products are emphasized. This emphasis prevails throughout all activities, and is also formalized in a Research Utilization Component, which stresses dissemination, information services, and investigations into the processes of change and innovation, and how to facilitate them, so that new findings can be adopted into ongoing service programs. Information on what is going on at the project level reaches the field through special dissemination efforts such as Rehab Briefs, general information services provided by NIHR's National Rehabilitation Information Center, and by lists of active project compiled by NIHR. Only organizations and agencies, not individuals, are

Only organizations and agencies, not individuals are eligible for those research awards. Those eligible include public and private rehabilitation agencies and facilities, colleges and universities, and private profit and nonprofit firms. Funding ranges from one to five years, with three being typical. Once projects grants are funded, and contract awards made, they are administered by NIHR project officers, in conjunction with their relevant counterparts in the Office of Procurement and Assistant Management.

Program Scope:

The total NIHR research appropriation for FY 81 was 29.75 million. Of this, approximately $29 million was committed to on-going projects: $16,295 million was devoted to the Research and Training Centers (RTC) Program, $3.92 million to individual R&D grant awards (including RRIs), and $1.502 million to Research Utilization Projects.

Research and Training Centers Program:

Ten Medical RTCs are funded at a total level of about $10 million. Their work covers many medical areas, such as cardiopulmonary disease, spinal cord injury, health care delivery, special problems of the severely impaired, independent living, biofeedback, and neuromuscular dysfunctions.

There are in addition three vocational RTCs (2.353 million), one on deafness ($450,000), three on mental retardation ($1.822 million), two on mental illness ($460,000), two on aging ($350,000), and one on Independent living ($200,000).

All of these RTC awards go to major universities. All are affiliated with service programs and are geographically dispersed. Each is guided by an Advisory Council and explores a broad "core area" of problems. In each one, research, training, and services are mutually supportive. They are also able to attract outside resources to further their efforts, and they emphasize dissemination and use of R&D results obtained.

Rehabilitation Engineering Center Program:

There are 15 RECs designed to produce new scientific knowledge, equipment, devices, and handicapped persons. They specialize in such areas as sensory aids for the blind and deaf, total joint replacement, mobility systems for severely impaired persons, electrical stimulation of paralyzed nerves and muscles, architectural barriers, and spinal cord injury. These awards all go either to hospitals or major universities, or to foundations, etc. that have close working relationships with universities. They are guided by a Coordinating Commission, and all develop manpower and training programs through which the devices, etc., can be safely introduced into service programs.

Individual R&D Grant Awards:

Nearly $5 million is obligated through individual grant awards, including four RRIs. The latter (total funding approximately $500,000) have core areas such as job development and placement, attitudinal and other barriers to rehabilitation, program evaluation, and the role of unions in developing jobs for severely handicapped persons. The remaining individual grant awards are research in the broad areas of psychological and medical problems, sensory disabilities, spinal cord injury, severe burns, end-stage renal disease, head trauma, and other specific problems. In addition, about $3 million is devoted to research utilization projects, which mainly offer coordinated dissemination and information services, promote innovations in service programs based on R&D results, and instill an awareness of change processes.

In administering this total program, NIHR pays careful attention to the research needs of handicapped persons, and uses this data to prioritize the projects funded. In developing its Long-Range Plan, NIHR received input on need from 4,000 organizations, rehabilitation facilities, and individuals with known expertise in rehabilitation, and used this data to set and prioritize R&D goals. A participatory planning conference was also used. Particular attention was paid to the opinions of handicapped persons themselves, the organizations that represent them, and to the mandates set fourth in legislation. Knowledge of research already done, and results obtained, also served to identify knowledge gaps needing to be filled. Certain projects contain built-in evaluation plans which gather information on research needs in the rehabilitation field. Regional Offices and field, were also used in this effort to identify research needs as a guide to planning and prioritizing research to be funded.

Program Effectiveness and Progress:

During FY 81, NIHR met the following mandates set forth in its legislation:

- It formulated a comprehensive Long-Range Plan that is not only a guide for future activities but also a source of information on research needs in rehabilitation.

- It convened the Interagency Committee on Handicapped Research, bringing in all relevant agencies, the mission being to identify, assess, and coordinates all Federal programs and activities dealing with rehabilitation research. Accomplishments included (1) development of an informal interagency research information exchange system as a basic preliminary to significant cooperating; (2) formation of subcommittees grouped by areas of expertise; (3) sharing interagency resources to evaluate assistive devices and equipment; (4) joint funding of a few mutually beneficial research activities; and (5) a preliminary survey to determine the extent and type of rehabilitation research activities carried out by these various agencies.

Evaluations of the major component programs of NIHR have been completed. First, the total Research and Training Center Program was evaluated, major findings are as follows:

- The RTC Program has a found conceptual base, the synergistic interaction of research, training, and client services being especially effective.

- The Program is exceptionally active, with some 300 individual studies underway at any given time, and 600 training programs serving 60,000 participants conducted annually.
- The RTC Program is an effective resource magnet; that is, it was able to attract an additional 75 cents from other sources for every dollar NIHR awarded to the Centers.
- The RTC Program has supplied many noteworthy innovations to the field of rehabilitation.

Secondly, the Rehabilitation Engineering Center Program has been evaluated. An important finding was that the Program has been very successful in defining "Rehabilitation Engineering" as a field, stimulating RE university programs, and attracting graduate students. A number of suggestions for improvement were made, including need for closer work with industry to develop and market assistive devices; closer liaison with other sectors of the rehabilitation service community; expanded technical assistance at the Federal level; clarification of goals (i.e. research vis-a-vis develop/market/utilization); more systematic information on devices, etc., that are available; and possible development of a systematic capacity for development, evaluation, and distribution of assistive devices by working with industry.

Although these recommendations are in their totality quite demanding, some have been implemented. For example, ABLEDATA now offers good information available devices; and three Rehabilitation Demonstration Units or Labs have been set up, where clients may come to see, try out, and learn more about available assistive devices. Further, in response to the need for close liaison with the rehabilitation community, a manual on rehabilitation engineering for rehabilitation counselors has been prepared. In response to other suggestions made by evaluation study, the REC Program (1) is developing a plan to work more closely with industry in developing and marketing devices to aid handicapped persons; and (2) through the Interagency committee, is working more closely than before with other Federal agencies on this same matter; and (3) the REC Program has funded a project in California to examine the whole rehabilitation service delivery system for ways in which rehabilitation engineering can be of help.

Thirdly, two of four Research Utilization Laboratories (RULs) NIHR has funded were evaluated. An RUL is essentially an organizational link between research and practice, and carries out a number of activities designed to promote the use of R&D results. The validity of this concept and its value for rehabilitation service delivery were examined.

It was found that validity was related to the kind of research the RULs tried to put into practice. The evaluation study concluded that a good demand for RUL services exists, but they may need continuing support. Their true merit remains unknown because the RULs were not able to fully documment their impact on rehabilitation services.

It was concluded (1) the RUL concept needs clarification (There was some deviation from original purposes); (2) better outreach is needed to building user pools; (3) better feedback of results is essential; and (4) more attention to research utilization theory, cost-effectiveness studies, and baseline data as a springboard for evaluating impact would be helpful. Funds have not been available to implement these evaluation findings.

Fourth, NIHR's whole Research Utilization effort was comprehensively evaluated, and a number of significant recommendation made:

(1) A Division (or other substantial program unit) of Rehabilitation knowledge Dissemination & Utilization should be established in NIHR, with a stature and responsibility commensurate with the size of the total NIHR R&D program, and the importance of utilizing obtained R&D results.

(2) A Rehabilitation Diffusion Network, modeled after the Department of Education National Diffusion Network, should be developed, its purpose being to identify field-generated innovations in service practices, test their worth, then diffuse them more widely This model has proved very sound and cost-effective in promoting educational innovations.

(3) Identify and fund reports in areas needing State-of-the Art assessment. Each report would include new clinical practices not yet written up in the literature (hence, would be completely up-to-date), and a reasonable consensus among chosen experts as to what is in fact known and usable, and what is not. This feature of involving prestigious professionals, and publishing the State-of-the-Art in a respected journal, would strongly promote utilization.

(4) Develop a system to inform disabled persons themselves about progress in research affecting them, and innovative assistive devices of use of them.

(5) Develop an automated data base (storage, retrieval, and related information services) or published and ongoing rehabilitation research and knowledge, to serve researchers, R&D program managers, service providers, and handicapped persons themselves.

(6) Establish a related data based on the demographics of disability, to reveal the dimensions of need to researchers, planners, and service providers; and to show also significant trends needing attention.

Ongoing and Planned Evaluation Studies:

None.

Sources of Evaluation Data:

(1) NIHR Budget Officer

(2) NIHR Long-Range Plan, Vol. 1, 1980

(3) "Research & Training Centers - Overview" (1980) (Special Centers Office -- In-house document)

(4) "Annual Report of the Rehabilitation Services Administration to the President and the Congress on Federal Activities Related to the Administration of the Rehabilitation Act of 1973" (1980) (ch. on NIHR, pp. 44-64)

(5) "Rehabilitation Engineering Center Program Evaluation: Final Report Report (Berkeley Planning Associates, Berkeley, California 94704

(6) "Goals and the Goal-Setting Processes in the Research and Training Program" (Abt Associates, Cambridge, Massachusetts 02128)

(7) "Final Report on An Evaluation of Two RSA (NIHR) Research Utilization Laboratories" (National Institute for Advanced Studies, Washington, D.C. 20005, 1980)

(8) "NIHR Research Priorities Plan: Issues and Recommendations for Knowledge Dissemination and Utilization" (ICD) Rehabilitation & Research Center, New York, N.Y., 1980)

These 10 information sources can simply be collapsed into "NIHR Program Data" if space is limited.

For further information about program operations,

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D.

EVALUATION OF VOCATIONAL AND ADULT EDUCATION

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Vocational Education - Basic Grants to States

Legislation	Expiration Date
Vocational Education Act of 1963, as amended by Public Law 94-482, Part A, subparts 2 and 3	September 30, 1984

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION 1/
	1965	$156,641,000	$156,446,000
	1966	209,741,000	209,741,000
	1967	252,491,000	248,216,000
	1968	252,491,000	249,300,000
	1969	314,500,000	248,316,000
	1970	503,500,000	300,336,000
	1971	602,500,000	315,302,000
	1972	602,500,000	376,682,000
	1973	504,000,000	376,682,000
	1974	504,000,000	406,347,000
	1975	504,000,000	420,978,000
	1976	504,000,000	415,529,100
	1977	450,000,000	441,382,275
	1978	880,000,000	537,833,000 2/
	1979	1,030,000,000	587,083,000
	1980	1,180,000,000	687,083,000
	1981	1,325,000,000	611,462,000

Program Goals and Objectives

This legislation assists States to improve planning in the use of all resources available to them for vocational education programs. It authorizes Federal grants to States for the following purposes: (1) to extend, improve, and, where necessary, maintain existing programs of vocational education; (2) to develop new programs of vocational education; (3) to develop and administer vocational programs so as to eliminate sex discrimination and sex stereotyping and furnish equal education opportunity in vocational education to persons of both sexes

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1/ This does not include the permanent authorization of $7.1 million apportioned to the States each year under the Smith-Hughes Act.

2/ Includes basic grants and budget for program improvement and supportive services, under P.L. 94-482.

and (4) to provide part-time employment for youths who need the earnings to continue their vocational training on a full-time basis.

Grants to the States may be used in accordance with five-year State plans and annual or three-year plans for a variety of purposes cited under Subpart Two. Work study and cooperative education programs, former categorical programs, were consolidated with the basic grant program by P.L. 94-482.

Under Subpart Three, program improvement grants assist States in upgrading and expanding their vocational programs and providing supportive services. Funding categories include: research programs, exemplary and innovative programs; curriculum development, guidance and counseling services, pre-and in-service training; grants to overcome sex bias and costs of supervision and administration of vocational education programs.

Vocational funds are appropriated on an advance basis to enable States and local school officials to plan efficiently.

Program Operation

Formula grants assist States in conducting vocational education programs for persons of all ages to assure access to vocational training programs of high quality. Within these formula grants national priorities require States to utilize 15 percent of the allotments for postsecondary and adult programs. They are also required to expend 10 percent for vocational education programs for handicapped students and 20 percent for disadvantaged students, including persons of limited English-speaking ability. These priorities for the handicapped and disadvantaged populations specify that the States are to use the funds to the maximum extent possible to assist these students in participating in regular vocational education programs. States are required to match the overall basic grant, and then show specific matching for the expenditures for the national priority programs serving the handicapped, disadvantaged, postsecondary/adult and the funds used for State and local administration.

Also included in these formula grants are specific amounts for program improvement and supportive services. The research, curriculum development and exemplary programs, administered under the State research coordination units (RCUs), are conducted under contract. States are required to spend 20 percent of their program improvement funds for guidance and counseling services. These funds are distributed by State formula to local educational agencies or by contract for Statewide services. The remaining activities authorized under Subpart 3 may be funded directly by grants or contracts by the State educational agency.

Program Scope

Slightly more than 6 billion dollars from Federal, State and local sources were expended for vocational education in FY 1979. Of this total, $565 million was Federal money. Thus, State and local money represented 91% of the total expenditures for that year. (FY 1980 data were not available at the time this report was prepared.)

States reported 17,033,620 enrollments in vocational education classes in FY 1979. Of these, 10,309,431 were at the secondary level; 1,949,558, postsecondary, and 4,774,631, adult.

Enrollments of the disadvantaged and handicapped who received special services supported by Federal Vocational Act funds under the national priorities were as follows:

Disadvantaged	1,043,072
Handicapped	235,988

Program data at the Federal level are generally limited to enrollment and expenditure data from annual reports submitted by State education agencies that cover only those vocational education programs included in the State Plan. There is no established procedure for obtaining data which are not included in the vocational education data system as mandated by P.L. 94-482.

States have consistently reported overmatching Federal funds by margins of nine and ten to one in recent years. However, problems were identified with the matching of funds for disadvantaged and handicapped priorities. New amendments to the Federal Vocational Education Act under P.L. 96-46 provides that the Federal portion can be increased if it can be shown that the State and local agency cannot provide the matching money. This would only occur if the Secretary approved a specific request from a State.

In FY 1979, the States were required to change from the full cost rule used in previous years to one of excess costs for specified special needs (disadvantaged and handicapped) students. For example, assume the full cost for a handicapped student is $1500 and the cost for a nonhandicapped student is $1200. In FY 1978, the State could report a $750 expenditure (50 percent of the full cost--$1500) in the State and local funds for the full cost of services to the handicapped student. In FY 1979, however, the State could report a $150 expenditure which is equal to 50 percent of the excess cost of $300 ($1500-$1200). Therefore FY 1979 costs for these students are not congruent with reporting data for FY 1978. Neither are data relating to special populations served. A handicapped or disadvantaged child served in a regular program, with no excess costs charged for his/her education, would not be counted.

Program Effectiveness and Progress:

Studies examining the administrative processes of the vocational delivery system have reported weaknesses which the 1976 amendments attempt to reduce or eliminate. The new legislation attempts to (1) improve access of special needs groups and to eliminate sex inequities; (2) improve program quality by requiring a more extensive planning process; (3) improve program flexibility and link experimental and research efforts with program improvement; and (4) improve program accountability by requiring new monitoring, evaluation and reporting systems. Data are not yet available to assess the impact of the new legislation. However, evidence from recently completed studies provide indications of impact.

The NIE Vocational Education Study: Interim Report

The National Institute of Education (NIE) transmitted to Congress an Interim report as a part of the Institute's mandate to review how vocational funds were distributed, how State and local education agencies complied with applicable Federal laws, how program quality and effectiveness are assessed and a study of the effectiveness of consumer and homemaking education programs. While the interim report does not present conclusive findings on any of these issues, it is useful to examine some of the report highlights.

Effects of the 1976 Legislation. NIE describes the "confusion and frustration" which has resulted from the 1976 Amendments and the Federal efforts in interpreting them. Particular problems have been funding formulas, excess costs and the issue of supplanting. The latter is particularly confusing as it is difficult to know what activities State and local funds would pay for in the absence of Federal funds because the Federal contribution is less than nine percent of the total national expenditures.

State Planning: NIE questions the ability of Federal and State plans to have an impact on a system in which program decisions are made primarily by a local agency. Also, NIE maintains that Federal analysts check on whether the State "paper" plans are in compliance and not whether the State's vocational education system is fulfilling Federal goals.

State Evaluations. "Program reviews are the activity most firmly implemented", NIE reports. State evaluations are used to revise and improve program quality and not to terminate programs or affect funding decisions, the report indicates.

Effects of Vocational Education on Participants: Reliable outcome data are not readily available, NIE reports. Given this caution, the report characterizes the employment status and earnings of students, using data from existing studies. Reports are mixed:

black vocational students have less unemployment than black general curriculum graduates. White and Black females enrolled in business and office programs in secondary schools experienced far less unemployment within ten years after high school than general currriculum participants. Hourly wages and number of hours worked per week do not differ greatly for graduates of vocational and general curricula. However, the differential effects of aptitude, socioeconomic status, and urban residence on wages must be taken into account when effects of different curricula are compared. Employers have generally expressed satisfaction with secondary school vocational students. Little data data are available about postsecondary student outcomes.

The Condition of Vocational Education

Prepared by the National Center for Education Statistics (NCES), this report is drawn primarily on data from the Vocational Education Data System (VEDS) required by the 1976 Amendments as an effort to improve reporting of student characteristics, and outcomes, and funding information. The report characterizes the vocational education enterprise, describing its providers, offerings, students, facilities, instructional staff and finance using primarily FY 79 data. The report examines problems students encounter in obtaining vocational education and the outcomes they achieve.

NCES reports that three years after high school, 75.5 percent of those who were in vocational programs were working. Four and one-half years after high school the proportion was 74.5, reflecting the impact of females leaving the labor force, at least temporarily. If males only are considered, there were 83.6 and 84.3 percent of the vocational program graduates working for pay three and four-and one-half years after high school, respectively. In contrast, only 71.6 percent of males from high school academic programs were working for pay at that time.

More than 20 percent of students in vocational programs reported later that they had received at least some vocational training after high school, and another portion of that group (over 18 percent) reported college enrollment. However, more than half of the students enrolled in vocational education programs reported no further educational attendance or program completion.

Vocational Education Sex Equity Study

Mandated in section 523(a) of the Education Amendment of 1976, this study focuses on the existence of sex discrimination and sex stereotyping in vocational education and actions which States, school districts and schools were taking in the spring of 1978 to further sex equity. It also examines factors external to vocational programs which contribute to stereotyping and constrain progress to eliminate it, and identifies programs which appear to foster sex equity.

Forty-nine States and the District of Columbia were visted during the spring of 1978. In addition, a school sample of 100 schools was selected on the stratified random basis, using the stratification variables of region of the country, city, size, and type of school. From each school, a sample of 4 counselors, 8 teachers and 35 students were interviewed, including sufficient numbers of nontraditional and ethnic minority students to determine whether their responses differ from those of other students. By weighting the responses of all those interviewed, it is possible to get estimates for the national population.

Four major products were produced: (1) The Review of the Literature and Secondary Data; (2) Case studies of Programs Fostering Sex Equity; (3) The Replication Handbook, which provides procedures, measures and instruments which can be used to measure progress in reducing sex inequities; and (4) The Final Report and Executive Summary based on findings from the primary data collection phase.

While overt discrimination, such as rules denying admission on the basis of sex, has been reduced, students are still enrolling in vocational programs which are predominantly populated by a single sex, the report indicates. Over 60 percent of State and local staff reported that practices which discourage students from enrolling in nontraditional courses are most in need of change. These include unwritten understandings that a course is for one sex and suggestions by counselors that traditional options be selected. About 27 percent agreed that factors encountered after enrollment are most in need of change. These practices include teacher reluctance to have nontraditional students in their classroom and the consideration of a student's sex in job placement.

The study found that State and school administrators focused primarily on traditional roles of review and monitoring legislative requirements. They were not taking corrective action to overcome inequities discovered through review and monitoring. There was little action at the school level to foster equity--particularly student-oriented activity. Few States or schools were engaged in community or employer activities. Yet these activities--particularly with employers--seem to be a critical ingredient for successful efforts to promote sex equity.

Although societal factors outside the school exert powerful influences on the aspirations of youth, study findings indicate that the school can have an impact because there is a strong positive correlation between the level of equity activity in a school and the proportion of nontraditional enrollment in that school.

There was also evidence that efforts to achieve equity in staffing patterns have a positive effect. Those schools with higher "internal affirmative action" activities indexes also tended to be those with higher proportions of nontraditional teachers. Since there is little staff turnover, it is important to install activities which directly reach school staff, students and employers, the report recommends.

National Study of Vocational Education Systems and Facilities

This study performed during 1977-78 was designed to describe the status and condition of the nation's vocational education system in terms of its capacity, services, accessibility to students, and adequacy, condition, and level of utilization of its facility resources. The study also describes the organization and governance of State and local agencies and delivery systems. Interviews were conducted at the State agencies and a mail survey was sent to all public secondary and free-standing two-year postsecondary institutions having facilities for five or more different vocational education programs.

Findings indicate that the location of facilities does not reflect the nation's population distribution. Institution/populations ratios are significantly higher for medium cities 100-500,000 or less and small towns and rural communities. Central cities include 22.8 percent of the population but have only 13.3 percent of the training stations in secondary schools and 10.6 percent in postsecondary institutions. Other large suburban and metropolitan areas having 38 percent of the population have 10.5 percent of the secondary instructional stations and 13.5 percent for postsecondary.

Ten types of State Boards are identified along with five types of State vocational education agencies and five types of authority exerted by the State agencies over local institutions. Six types of vocational education institutions were defined. These differences have significant impact on the manner in which Federal policies are implemented in the different States and territories.

With the exception of comprehensive high school, virtually all other types of institutions report use of combinations of testing, interviews, demonstrations and age-level as criteria for the admission of students for training.

Most postsecondary institutions--such as vocational schools, technical institutes and community colleges--report their facilities are accessible for handicapped students. About 22-24 percent of the comprehensive high schools report their facilities as inaccessible and about 30-47 percent of the single district and regional vocational high schools report lack of access.

Ongoing and Planned Studies:-

NIE Studies

The NIE has designed a series of studies to meet the Congressional mandate under Section 523 (b) of the Vocational Education Act as mandated by Public Law 94-482. The studies will focus on the distribution of vocational education funds in terms of services, occupations, target populations, enrollments and policy issues. The studies will also examine compliance issues and an analysis of the means of assessing program quality and effectiveness. Products will include a "fact book" on vocational education nationally and a systematic account of the changes in the vocational education enterprise that can be attributed to the Educational Amendments of 1976. Reports are due to Congress in September 1981.

Sources of Evaluation Data:

The following documents were reviewed during the preparation of the evaluation report. Some of the studies contained methodological problems that rendered their findings unreliable and consequently their results were not used in this presentation. Further, some of the studies are now dated and are of limited value. However, they provide useful background material.

The Vocational Education Study: The Interim Report. National Institute of Education, September 1980.

The Condition of Vocational Education. National Center for Educational Statistics, October 1980.

Technical Analysis Report Series on Vocational Education, Vols. 1-4, U.S. Department of Education, 1980.

Vocational Equity Study. Volume I, American Institutes for Research, 1979.

National Study of Vocational Education Systems and Facilities. Westat, Inc., 1979.

Vocational Education and Training. Carnegie Council on Policy Studies in Higher Education, 1979.

The Planning Papers for the Vocatrional Education Study. National Institute of Education, 1979.

An Assessment of Vocational Education Programs for the Disadvantaged under Part B and Part A Section 102 (b) of the 1968 amendments of the Vocational Education Act. Olympus Research Corporation, December 1976.

An Assessment of Vocational Education Programs for the Handicapped Under Part B of the 1968 Amendments to the Vocational Education Act. Olympus Research Corporation, October 1974.

A Vocational Re-Evaluation of the Base Year Survey of the High School Class of 1972 (Part I: Selected Characteristics of the Class of 1972). Educational Testing Service, October 1974.

National alongitudinal Study of the High School Class of 1972. Educational Testing Service, June 1973. (Study under auspices of NCES)

Practical Career Guidance, Counseling and Placement for the Noncollege Bound Students. American Institutes for Research, June 1973.

National Longitudinal Surveys. Survey of Work Experience of Males, 14-24, 1966, and Survey of Work Experience of Young Men, 1968, Center for Human Resources Research, Ohio State University, and U.S. Department of Commerce Bureau of Census, 1966 and 1968, often referred to as the Parnes Study.

Annual State Vocational Education, Reports

Reports from State Advisory Committees

Reports from the National Advisory Committee

What is the Role of Federal Assistance for Vocational Educationl? Report to Congress by the Comptroller General of the United States. December 31, 1974.

For further information about program operation,

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For further information about program effectiveness,

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Vocational Education - Special Programs for the Disadvantaged

Legislation:

Vocational Education Act of
1963 as amended by Public Law
94-482 Part A, Subpart 4

Expiration Date:

September 30, 1984

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1969	$ 40,000,000	-0-
	1970	40,000,000	$ 20,000,000
	1971	50,000,000	20,000,000
	1972	60,000,000	20,000,000
	1973	60,000,000	20,000,000
	1974	60,000,000	20,000,000
	1975	60,000,000	20,000,000
	1976	60,000,000	20,000,000
	1977	35,000,000	20,000,000
	1978	45,000,000	20,000,000
	1979	45,000,000	20,000,000
	1980	50,000,000	20,000,000
	1981	50,000,000	14,954,000

Program Goals and Objectives:

Under Part A, subpart 4, funds are provided to assist States in conducting special programs for disadvantaged persons with academic or economic handicaps who require special services and assistance in order to succeed in regular vocational education programs. Funds shall be allocated within the State to areas of high concentration of youth unemployment and school dropouts. Services and programs may also be provided to eligible students in nonprofit private schools.

Program Operation:

Grants are allocated to the States by formula with no matching required. Special services and programs are provided so that the disadvantaged youth and adults can be mainstreamed into regular vocational programs. If benefiting to the students, separate programs are provided. The target population includes: persons of minority ethnic backgrounds, inmates in correctional institutions, dropouts, persons in rurally isolated areas, persons in inner cities, migrants, persons with limited English-speaking ability, the undereducated, and juvenile delinquents. Special services and programs are provided these youth and adults to encourage them to stay in school to acquire the academic and occupational skills needed for successful employment or to continue to pursue their career preparation.

Special services include specially trained teachers in remedial and bilingual specialties, staff aides, additional counseling services, facilities accessible to a high concentration of these students, and instructional materials and equipment best suited to their needs and abilities.

Some of the areas where these funds have been expended are those where English is a second language, rural depressed communities, low-cost housing development in the inner city, correctional institutions, and off-reservation locations with a predominance of Native Americans.

Program Scope:

States reported 152,970 disadvantaged students received services or participated in programs designed to meet their needs in FY 1979 under the special funding.

Program Effectiveness and Progress:

State reports do not describe the kinds of services available, the effectiveness of such services in improving student retention and completion in occupational training programs or other impact data.

Findings from the assessment of the disadvantaged set aside under State grant funds and the special needs categorical program are reported under the State grant evaluation. States generally used special needs funds for specific projects. Some States used this money for populations the States do not ordinarily serve, such as correcitonal inmates and school dropouts.

Ongoing and Planned Evaluation Studies:

NIE will continue to examine vocational services for the disadvantaged under its mandated study due September, 1981.

Sources of Evaluation Data:

Annual State Vocational Education Reports

State Advisory Committee Reports

Assessment of Vocational Education Programs for Disadvantaged Students, Olympus Research Corporation, December 1976.

For further information about program operation,

Contact: Barbara Kemp
(202) 245-2488

For further information about program effectiveness,

Contact: Dorothy Shuler
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Vocational Education - Consumer and Homemaking Education

Legislation:

Vocational Education Act of 1963,
as amended by P.L. 94-482, Part A,
Subpart 5

Expiration Date:

September 30, 1984

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1968		
	1969		
	1970	$ 25,000,000	$ 15,000,000
	1971	35,000,000	21,250,000
	1972	50,000,000	25,625,000
	1973	50,000,000	38,322,000
	1974	50,000,000	30,994,000
	1975	50,000,000	35,994,000
	1976	50,000,000	40,994,000
	1977	55,000,000	40,994,000
	1978	65,000,000	40,994,000
	1979	75,000,000	43,497,000
	1980	80,000,000	43,497,000
	1981	80,000,000	30,347,000

Program Goals and Objectives:

The Vocational Education Act of 1963, as amended by the 1976 Amendments, provides formula grants to States for programs, services and activities solely for consumer and homemaking education programs. The allotments to States are to be expended solely for:

> Educational programs in consumer and homemaking education consisting of instructional programs, services, and activities at all educational levels (to prepare males and females, youth and adults) for the occupation of homemaking including, but not limited to, consumer education, food and nutrition, family living and parenthood education, child growth and development, housing and home management (including resource management), and clothing and textiles. Emphasis in these programs will be on assisting youth and adults, males and females, in consumer and homemaking education on unpaid employment occupation by (a) encouraging participation of both males and females to prepare for the roles of homemakers and wage earners (unpaid employment), (b) encouraging elimination of sex stereotyping in consumer and homemaking educa-

tion by promoting the development of curriculum materials which deal with increased numbers of women working outside of the home and increased numbers of men assuming homemaking responsibilities and changing career patterns for women and men; (c) giving greater consideration to the economic, social and cultural conditions and needs and such courses may include bilingual instruction; (d) encouraging outreach programs for special audiences such as, school age parent, single parents, older Americans, incarcerated persons, handicapped, persons, and various ethnic groups; (e) preparation of males and females who have entered or are preparing to enter the work of the home; (f) ancillary services and activities which assure quality in consumer and homemaking education programs such as teacher training and supervision; curriculum development, research, program evaluation, special demonstration and experimental programs, development of instruction materials, exemplary projects, provision of equipment, State administration and leadership.

Program Operation:

States reported that 3.7 million students participated in programs funded during FY 1979. About 2.8 million (or 75.7 percent) were in secondary schools; 30,095 were at the postsecondary level; and 867,845 were adults. Of the total enrollment, 79.4 percent were female. Data for FY 1980 were not available at the time this report was prepared.

Program scope:

Program areas within consumer and homemaking programs have shifted considerably over the past five years. Programs in child development and guidance increased from 193,300 in FY 1976 to 288,130 in FY 1979, an increased of 47.5 percent; Family relations enrollments increased 49.7 percent over the same period of time. Nutrition education increased by 49.4 percent; consumer education from 102,055 to 193,866 in FY 1979. Comprehensive homemaking, the largest secondary vocational program, reported a decrease from 1.6 million in FY 1976 to 1.4 in FY 1979 (or 11.9 percent).

States must use at least one-third of the Federal funds allocated for programs in economically depressed areas or areas with high rates of unemployment. Fifty percent matching is required except in economically depressed areas or areas with high rates of unemployment where matching is 90 percent Federal and 10 percent State and/or local.

Program Effectiveness and Progress:

States report expansion of programs and increased programming for consumer education, nutrition education, parenthood education, child development and energy education, and approximately 53 percent of the Federal funds are utilized in economically depressed areas. States are beginning to report on research conducted on the effectiveness and responsiveness of consumer and homemaking education such as, "The Male Student in Consumer and Homemaking Education" (Texas); Consumer and Homemaking Education Programs for Incarcerated Males and Females (Minn.); "Parenthood Education - A Collaborative Approach," (Fla., Minn., N. Dak.); "Mainstreaming the Handicapped into Consumer and Homemaking Education" (Texas, Ill., etc.), and "Programs for Non-English Speaking Populations," (Calif. & Fla.).

Ongoing and Planned Studies:

The National Institute of Education has completed data collection for a study of this program in 10 States as mandated under Section 523(b), (1), (f) of the Vocational Education Act as amended by Public Law 94-482.

Sources of Evaluation Data:

Annual State Vocational Education Reports

Descriptive reports submitted by State Departments of Education, State Supervisors of Home Economics Education

The Condition of Vocational Education, U.S. Department of Education, 1980.

For further information about program operation,

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For further information about program effectiveness,

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Vocational Education - Indian Tribes and Tribal Organizations

Legislation:

Vocational Education Act of 1963
as amended by P.L. 94-482, Title I,
Part A, Section 103 (a) (B) (iii)

Expiration Date:

September 30, 1984

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION 1/
	1978	$ 8,360,000	$ 5,218,476
	1979	9,789,000	5,437,777
	1980	11,800,000	5,929,888
	1981	11,800,000	6,929,755

Program Goals and Objectives:

Under this program, the Secretary is authorized to award grants and contracts to Indian tribal organizations and Indian tribes eligible to contract with the Secretary of the Interior for the administration of programs under the Indian Self-Determination and Education Assistance Act of 1975 or under the Act of April 16, 1934.

The tribes and tribal organization will plan, conduct and administer the vocational education programs. Awards may not exceed three fiscal years. Requests for continuation beyond the project period are considered competitively with all other applications.

Program Operation and Scope:

Thirty-two projects in 16 States will be funded through grant awards during fiscal year 1981. Of these, 23 projects begin their first year of funding and nine are continuation grants. Ongoing projects are reviewed each year and continuation is based on evidence of satisfactory performance.

In FY 1981, two new contracts will provide technical assistance to Indian tribes and organizations who will be planning and administering vocational education projects. These include: "Strategies for Linking Vocational Education programs to Tribal Economics Development Plans" and "Project Management and Evaluation Competencies for Indian

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1/ P.L. 94-482 authorizes a one percent set-aside of funds from Subparts 2 and 3 (basic grant and program improvement) to support Indian projects and one percent from Smith-Hughes (or $68,034).

Vocational Education Project Administrators". These two efforts are designed to strengthen program planning and management as recommended in the evaluation study.

Training is offered in a wide range of occupations varying from building construction trades, paraprofessional rehabilitation services, business and clerical skills, small business and public management, agricultural occupations, automotive repair and maintenance, upgrading skills of police employees, aquaculture and fisheries management, graphic arts and bilingual training in machine shop occupations.

The 32 programs funded under this authority generally support new vocational programs and supportive services on Indian reservations where training opportunities have been very limited or install new occupational programs and/or supportive services in existing facilities. Most projects are designed to bring training to Indians who cannot commute great distances and who cannot affort to leave home to attend school.

Program Effectiveness and Progress:

"An Assessment of Vocational Education Programs for Indian Organizations and Tribes" was designed as a short-term study to provide descriptive information about the program operation, to determine how the projects fit into, and forward the economic development plans of the tribes; to ifentify non-fiscal obstacles which inhibit or limit the operation of the projects as planned; to identify key variables which appear necessary to provide programs of high quality, and to determine, from records where available, how project participants fared after completing their training. The study was planned to meet the requirements of Public Law 95-40, the Vocational Technical Amendments of 1977, which mandated an evaluation.

Field visits were made to 17 projects which were funded during the program year 1978-79 and which were continued during 1979-80. At each project location, three types of respondents were interviewed: project directors, organizational/tribal education representatives and project instructional staff. A special effort was made to determine from records which were available of how project participants fared after completing their training and finding employment.

For Indian youth in ten communities the program offered vocational opportunities where no training existed previously. In nine areas, the program supplemented existing vocational training programs by introducing new training areas. For Indian adults in seven communities, the program offered training in locations where no opportunities existed previously. These programs appear to fill a vocational/training void in Indian communities.

The majority of the project directors were Indian and one-third of the instruction staff of the projects were Indian. However, neither the project directors nor the project staff demonstrate much experience in the areas of vocational education for Indians. Over 60 percent of these groups have worked in the area of vocational education for Indians for less than three years.

The program is clearly located in areas where need is high. The incidences of poverty and unemployment in Indian communities is high when compared to national standards. Many respondents indicated that more than three quarters of their Indian communities could be classified as low-income.

The vocational/training needs identified by the project directors and the organizational/tribal representatives were those which directly influenced the design and objectives of the vocational education projects. The linkage between the needs identified by local persons and the tribal economic development plans, while it may exist, could not be verified. Clearly, the degree of sophistication in accessing these needs varies from tribe to tribe.

Strong program management, tribal and community support, Indian staff, and the availability of community based supportive services, such as counseling, basic skills including bilingual instruction are factors which appear necessary to provide programs of high quality.

For cost reasons, the study was limited to assessing student outcome performance by using data existing at the training sites. This created problems for several reasons: incomplete data, staff turnover and the fact that several projects were designed to provide long-term (more than one year) training. However, projects showed consistent efforts to improve job placements of trainees in the second year of operation. About 39% of the Indian students enrolled in the fiscal year 1979 projects designed to demonstrate project success after one year demonstrate such success. In fiscal year 1980, 48% of students either secured jobs, returned to school to continue their education or enrolled in another training program.

Sources of Evaluation Information:

An Assessment of Vocational Education Programs for Indian Organizations and Tribes. Communications Technology Corporation, November 1980.

For further information about program operations,

Contact: Richard E. Carlson
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For further information about program effectiveness,

Contact: Dorothy Shuler
245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Vocational Education -- Programs of National Significance

Legislation:	Expiration Date:
Vocational Education Act of 1963 as amended by P.L. 94-482, Title II, Part B, Subpart 2	September 30, 1984

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION 1/
	1977	$ 44,000,000	$ 27,153,000
	1978	51,500,000	28,307,000
	1979	59,000,000	10,000,000
	1980	66,250,000	10,000,000
	1981	74,250,000	7,477,000

Program Goals and Objectives:

The overall goal of Programs of National Significance is to improve the quality of vocational education programs in the States for all persons including the handicapped, females, the disadvantaged, and minorities. Projects are intended to impact on areas of national concern and to lever the use of State and local program dollars to assure that these funds have maximum beneficial impact. These projects are also intended to: (1) produce information for policy development, (2) develop curriculum materials for new and changing occupations, (3) develop leadership personnel and certify vocational teachers in occupational areas where teachers shortages exist, (4) demonstrate new techniques and services for students, (5) package and disseminate information in usable forms for special populations, and (6) ensure that information and materials are placed in the hands of vocational education practitioners.

Program Operations:

In FY 81, about 60 projects previously funded were monitored as well as the National Center for Research in Vocational Education, and the national network of six Curriculum coordination centers.

The program maintained for its third year the National Center for Research in Vocational Education, which was established in

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1/ The appropriated funds for any given fiscal year are advance funded for the next fiscal year. However, these funds become available for obligation on July 1 instead of October 1.

FY 78. The purpose of the Center is to promote improvement in vocational education by: (1) conducting applied research and development activities, (2) providing leadership development activities for State and local vocational educators, (3) disseminating the results of research and development, (4) maintaining a clearinghouse on research and development, projects supported by States and Federal agencies, (5) generating national planning and policy development information, and (6) providing products technical assistance in the program evaluation to State and local agencies.

In order to bring the many activities authorized under Programs of National Significance together with related Federal research and development programs, the Vocational Education Act also authorized the establishment of the Coordinating Committee on Research in Vocational Education. The Coordinating Committee, which represents the Office of Vocational and Adult Education, the National Institute of Education, the Office of Special Education, the Office of Career Education, and the Fund for the Improvement of Postsecondary Education, has three major objectives: (1) developing a plan for each fiscal year establishing national priorities for the use of funds available to these agencies for research, development, etc.; (2) coordinating the efforts of member agencies in seeking to achieve these priorities in order to avoid duplication of effort; and (3) developing a management information system on the projects funded pursuant to this plan in order to achieve the best possible monitoring and evaluation of these projects and the widest possible dissemination of their results. Under this broad mandate, the Coordinating Committee arranged for the publication of an annual publication entitled Projects in Progress. The Committee published a brochure to inform prospective grantees and contractors of the programs available to them which is entitled Guide to Federal Funding in Career Education, Education and Work, and Vocational Education.

Program Scope:

Funding for Programs of National Siginificance in FY 80 was $10,357,549, which included 5 percent of the Smith-Hughes funds. FY 81 funds (totalling $7.8 million including the Smith-Hughes setaside) have not been obligated at the time this report was written. The National Center for Research in Vocational Education and the curriculum centers will continue to be supported at reduced levels. About four or five new research contracts are scheduled for awards.

Contracts are competitively awarded to public and private organizations, institutions, and agncies. Awards were made through competitions reflecting selected Federal priorities for this fiscal year. Proposals were reviewed by experts in R&D in the priority areas. Projects may be approved for a period of from one to five years.

In order to promote excellence, innovation, and leadership in vocational education at the Federal, State, and local levels, activities of the Programs of National Significance focused on three major priorities each tied to a national problem. These are: (1) reduce youth unemployment, (2) promote equity, and (3) improve productivity training. All projects under this program address new and innovative approaches to these nationwide concerns.

Program Effectiveness and Progress:

During FY 80, support was provided for approximately 30 research, curriculum development, demonstration, and personnel development projects including the national network of Curriculum Coordination Centers; 297 graduate leadership and teacher certification fellowships; and the National Center for Research in Vocational Education.

Among the projects funded in FY 80 four were new applied studies projects. Most of these contained major dissemination activities including workshops and orientation for State personnel regarding project results and products. These newly funded projects addressed such content areas in vocational education as:

(1) "Development of Model Methods of Administration for the implementation of the OCR Guidelines for Vocational Education."

(2) "Development of a Support System for Sex Equity Services in Vocational Education."

(3) "Linking Education and Economic Development in Rural America."

(4) "Vocational Education Personnel Development Needs for Working with the Handicapped."

(5) "Design of a National Cost-benefit Study of Vocational Education at the Secondary, Postsecondary, and Adult levels."

Three new curriculum development efforts were funded in FY 80 for $850,000. These included projects to improve vocational related instruction in apprenticeship programs; to develop modules for infusing energy conservation and use skills in existing training curricula; and to put into modular form Armed Services materials in nine environmental occupational categories.

Support was continued for a national network of six Curriculum Coordination Centers which are a major resource for diffusion of curriculum materials and assistance to State vocational leaders in maximizing their management of curriculum development, conducting field testing and demonstration, and in improving their information and materials dissemination activities. In State reports to the centers, for example, it was noted that 50 Stats adopted or adapted instructional materials developed outside their States at a total savings of $3,973,200 in developmental costs. During the year staff from the Centers conducted or participated in 349 workshops for materials developers, administrators and teachers. The Centers collectively disseminated a total of 391,442 copies of curriculum materials and information and conducted a total of 2,705 searches for materials needed by their clients.

Support was continued for the National Center for Research in Vocational Education. During its third year of operation (February 1, 1980 - January 31, 1981) the Center continued in its efforts to provide a comprehensive nation-wide research and development system for vocational education. Emphasis was continued in the National Center's major themes of (1) comprehensive planning, (2) responsiveness to special needs of subpopulations, (3) sex fairness, and (4) effective evaluation. The National Center had deliverables in eight major areas: applied R&D - Independent studies; applied R&D - Designated studies; leadership development; dissemination and utilization; planning and policy development; resources in vocational education; evaluation; National Center and R&D evaluation and management. Findings from the mid-contract review include recommendations that consideration should be given to longer term projects and efforts and consideration should be given to expanding the attention given to targeted and diverse audiences. Findings relating to the quality of products and center management were very favorable.

Ongoing and Planned Evaluaation Studies:

None

Sources of Evaluation Data:

Office of Vocational and Adult Education program data.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Adult Education -- Grants to States

Legislation:

Adult Education Act, P.L. 91-230, as amended

Expiration Date:

September 30, 1983

FUNDING HISTORY

YEAR	AUTHORIZATION	APPROPRIATION
1965	(Under Econ. Opp. Act)	$ 18,612,000
1966	(" " " ")	20,744,063
1967	$ 40,000,000	29,200,000
1968	60,000,000	40,250,000
1969	70,000,000	45,000,000
1970	160,000,000	50,000,000
1971	200,000,000	55,000,000
1972	225,000,000	61,300,000
1973	225,000,000	85,000,000
1974	150,000,000	63,485,000
1975 1/	150,000,000	67,500,000
1976	175,000,000	67,500,000
1977	200,000,000	71,500,000
1978	200,000,000	80,500,000
1979	210,000,000	90,750,000
1980	230,000,000	100,000,000
1981	250,000,000	120,000,000
1982		

Program Goals and Objectives:

The purpose of this program, as stated in the legislation, is "to expand educational opportunities for adults and to encourage the establishment of programs of adult education that will --

(1) enable all adults to acquire basic skills necessary to function in society,

(2) enable adults who so desire to continue their education to at least the level of completion of secondary school, and

(3) make available to adults the means to secure training that will enable them to become more employable, productive, and responsible citizens."

1/ In 1975 the Appropriation Act included funds for both 1975 and 1976, placing this program on an advance funding basis.

The legislation defines the program's population as persons who have attained the age of 16 and (1) lack sufficient mastery of basic educational skills to enable them to function effectively in society or who do not have a certificate of graduation from a school providing secondary education and who have not achieved an equivalent level of education, and (2) are currently not required to be enrolled in school. The law identifies the following groups within the target population for which there is special concern: residents of rural areas, residents of urban areas with high rates of unemployment, persons of limited English language skills, institutionalized adults, adult immigrants, and adult Indochina refugees.

Changes made in the Adult Education Act by the 1978 Amendments increase outreach activities and encourage expansion of the delivery system through the use of agencies, institutions, and organizations other than the public school system. Other changes include:

- o expanding the purpose to include basis functional skills,
- o broadening state plans to require more consultation with outside groups improved needs assessment, and removing barriers to adult participation;
- o providing research, development, dissemination, and evaluation authority at the national level.

These amendments became effective November 1, 1978. Three-year State plans beginning with Fiscal Year 1980 program operations implemented the amended legislation. Implementing regulations became effective on May 4, 1980.

Program Operations:

There are two major parts to the adult education program established under the Adult Education Act. One is the State-administered program and the other is comprised of four national discretionary programs.

The State-administered program establishes a cooperative effort between the Federal Government and the States. Funds are allocated to the States on a formula basis and the States, in turn, fund local programs based on need and resources available. Each State is required to match these Federal funds at the rate of ten cents for every ninety cents of Federal money.

. Of the amount appropriated for this program, the Secretary shall allot not more than 1 percent to the outlying areas and $150,000 to each State. The remainder shall be allotted to each

State in proportion to the eligible population in each State. In order to receive its allotment a State must file a general State application and submit a State Plan not more frequently than once every three years.

The State then distributes grants on the basis of annual applications submitted by local educational agencies and public or private nonprofit agencies, organizations, and institutions. These grants are awarded competitively based on criteria devised by the States. In devising the criteria, a State must consider the following factors:

- the needs of the population to be served by the applicant
- the extent to which the applicant proposes projects to reach adult populations least educated and most in need of assistance
- the extent to which the applicant gives special emphasis to adult basic education projects
- the adequacy of outreach activities, including:

    flexible schedules to accommodate the greatest number of adults who are least educated and most in need of assistance

    locations of facilities offering programs that are convenient to large concentrations of adult populations identified by the State or locations convenient to public transportation, and

    the availability of day care services to participants in the project.

- the extent to which cooperative arrangements with other agencies will be used for delivering adult education and support services
- the resources available to the applicant - other than Federal and State adult education funds - to meet these needs
- the extent to which the proposed activity addresses the identified needs
- the extent to which the project objectives can be accomplished within the amount of the budget request.

The four national discretionary programs are:

1. A National Development and Dissemination Program;
2. Planning Grants;
3. An Emergency Adult Education Program for Indochina Refugees; and
4. An Adult Education Program fo Adult Immigrants.

In Fiscal Year 1980, $5,000,000 in supplementatl appropriation was made available by the Congress for the two discretionary programs: Adult Indochina Refugees and Immigrants. An addditional $17.6 million is available for adult education for Cuban and Haitian immigrants. For FY 1981, $2,000,000 is requested for the National Development and Dissemination Program.

Technical assistance is given in the development of State plans and in the quality of management plans. This is rendered by the Federal Government to the State educational agencies and by the State to the local level.

In addition to State plans which may be updated any time during the three-year periods, financial and performance reports are required annually. An evaluation of activities according to criteria and procedures included in the State plan is sent to the Secretary by the State. The evaluation shall be performed at least once every three years.

To be eligible for Federal funds a State shall maintain its fiscal effort. A State shall expend for adult education from non-Federal sources an amount equal to the fiscal effort of the State in the preceding fiscal year. A State may determine its fiscal effort on a per student basis or on a total expenditure basis. The Secretary does not make any payment to a State in any fiscal year unless the Secretary finds that the fiscal effort of a State for adult education for the preceding fiscal year was not less than the fiscal effort expended for adult education purposes during the second preceding fiscal year. However, the Secretary may waive for one fiscal year only the maintenance of effort requirement if the Secretary determines it would be equitable to do so in view of exceptional and unforeseen circumstances affecting the State.

A State wishing to receive a waiver shall submit a request with its three-year State plan or as an amendment to the plan, including in the request the reason and any additional information the Secretary may require. As of July 1980, no State has requested a waiver. Maintenance of effort is monitored indirectly by the Federal Government by an analysis of financial reports and by visits to State agencies.

Program Scope: 1/

Most Federal funds are distributed by the States to support instructional projects at the local level. Grants to States in FY 1980 ranged from $73,172 to $8,334,833.

Types and Amounts of Federal Grants:

The estimated distribution of the FY 1980 monies is as follows: (1) $1,000,000 received for outlying areas, (2) each State, the District of Columbia and Puerto Rico receiving a minimum amount of $150,000 and (3) the remainder distributed on the basis of the number of persons 16 and over with less than a high school education based on the 1970 Census. Thirty-two States had grants of more than one million dollars with the four largest being New York ($8,334,833), California ($7,373,624), Pennsylvania ($5,620,657), and Texas ($5,500,870). The smallest State amount was $240,062, granted to Alaska.

Within each State the Federal funds may be utilized for administrative expenses, State advisory councils, research and special projects, and various types of instructional projects. The Secretary notifies each State annually of the maximum amount available for use for State administration of the program -- approximately five percent of the total State allotment with a minimum of $50,000 per State. For each outlying area the minimum level is $25,000.

Section 310 of the Act provides that not less than ten percent of the funds allocated to the States shall be used for special

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1/ The sources of information in this section are findings prepared by Development Associates, Inc. (under contract to The Department of Education forr the evaluation of the Adult Education State-administered Program, May 1980), and the Office of Vocational and Adult Education.

projects and teacher training. These may involve the use of innovative methods, systems, materials or programs which have unusual promise in promoting a comprehensive or coordinated approach to the problem of persons with educational deficiencies, or may be for training present or potential program personnel.

The majority of Federal funds are expended on various types of instructional activities through grants made by the States to projects at the local level. All States are required to place emphasis on adult basic education programs.

In addition to adult basic and secondary education, the Federal legislation encourages provision of instruction in English as a Second Language (ESL) or bilingual education. In some States ESL activities constitute a major and separately funded component of the program. Of the total population served in adult education programs, 315 are in this component.

The Federal government also provides emergency funding as the need arises. One such need was the increased demand for adult classes brought about by the large number of Indochina refugees entering the United States. Grants for 1977-78 were made to 65 State and local educational agencies to serve 30,000 participants. There were approximately 130 full-time and 530 part-time staff employed in these programs. The amount expended was $10,029,327. $2.5 million is requested for the Emergency Indochina Program for FY 1981. Other available funds include $2.5 million for adult education programs for immigrants and $17.6 million for adult Cubans and Haitians.

State and Local Funding:

The Adult Education Act provides that the Federal share of the expenditures needed to carry out the State Plan shall be no more than 90 percent (except with respect to Guam, American Samoa, the Virgin Islands, the Northern Mariana Islands, the Trust Territory of the Pacific Islands where the Federal share may be 100 percent).

Overall, the average size of project grants during FY 1978 was $30,256. About 28% of the grants wee for less than $5,000; ten percent received grants of $2,000 or less. The average cost in Federal funds for FY 1979 was $46 per participant.

Program Effectiveness and Progress:

In October 1978, the Division of Adult Education analyzed data received from 50 States reporting on the accomplishment of program objectives for FY 1977. The purpose was to assess States' progress in providing improved and more effective learning opportunities for disadvantaged adults. States reported the achievement of goals such as the following:

1. Improvements in the operation, administration, and evaluation of local programs were emphasized in state-wide workshops for local administrative personnel. State coordinators visited local programs on the average of two or three times during the year to verify enrollments, compliance with adult education Federal and State legislation and regulations, and the achievement of objectives established by local directors.

2. States expended the number of adult education classes through increased cooperative arrangements with agencies and organizations such as Community Education, CETA, Health Services, Social Services, churches, correctional and mental institutions, and community action agencies. New adult learning centers were started, classes were provided in area vocational centers, instruction was offered via television and mobil vans, and new programs were established, many with satellite classes in rural communities or other areas with small scattered numbers of adults needing services.

3. States increased efforts to improve the quality of instructional services through special demonstration and staff development projects. Projects either trained personnel or developed curriculum or instructional methodology in the areas of life-coping skills, adult high school and Adult Performing Level concepts, and volunteer tutorial trianing in reading and mathematics.

Information for 1979 shows the following data for the race, age, and sex of the population served nationally.

American Indian & Eskimo	21,475
Black	391,713
Asian & Pacific Indian	133,129
Spanish	377,217
Other	762,742

16 - 44 years	1,484,341
44 - 64	229,720
65 +	53,012

Male	795,183	45%
Female	971,890	55%

The evaluation completed in May 1980 for the Office of Program Evaluation by Development Associates contains the following conclusions:

1. Increasing numbers of adults are being served, but there continues to be a large, unmet need for additional services.

2. An estimate of 1.9 million adults were served in FY 1979. Of these, 58.8% were females, 65.1% were under 35 years old, 56.7% were members of ethnic minorities, and 26.9% received public assistance.

3. Generally, participants (79.7%) reported partial of full attainment of their perrsonal goals for the specific program for which they enrolled.

4. Only 38% of students meet in elementary or secondary schools, 28% meet in adult learning centers, 10% in community colleges and vocational/technical schools, and 25% in churches, prisons, libraries, or private homes. Much of the instruction is individualized and competency-based. About 35% of the teachers are assisted by volunteers or aides.

5. More emphasis is needed on clearly targeting the Federal program and on helping local projects serve the targeted population groups.

Ongoing and Planned Evaluation Studies:

An evaluability assess is currently being conducted for the Department of Education by the American Institute for Research. It is designed to surface issues that may require further examination and to systematically present the processes involved in implementing programs for adults.

Sources of Evaluation Data:

- Annual State Performance and Financial Reports
- HEW Reports on State Program Adults
- National Advisory Council on Adult Education
- An Evaluation of the Adult Education State Grant Program, Development Associates, Inc., May 1980. U.S. Department of Education, Office of Program Evaluation.

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For further information about studies of program effectiveness,

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Community Education

Legislation:

Elementary and Secondary
Education Act, Title VIII

Expiration Date:

Repealed October 1, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1975	$ 17,000,000	$ -0-
	1976	17,000,000	3,553,000
	1977	17,000,000	3,553,000
	1978	17,000,000	3,553,000
	1979	17,000,000	3,190,000
	1980	100,000,000	3,138,000
	1981	123,000,000	3,138,000
	1982	100,000,000	

Program Goals and Objctives:

The goals of the community education program as defined by the Community Schools and Comprehensive Community Education Act and reiterated in the regulations are:

(1) to provide in collaboration with other public and nonprofit agencies educationa, recreational, cultural, and other related community and human services, in accordance with the needs, interests and concerns of the community through the expansion of community education programs;

(2) to coordinate the delivery of social services to meet the needs and preferences of the residents of the community served by the school;

(3) to provide for an efficient, enery-conserving use of school facilities; and

(4) to provide for a research and development emphasis in community education which can contribute to an improved formulation of Federal, State, and local policy.

Program Operations:

Discretionary competitive grants are made to local education agencies and to public and private nonprofit organizations to pay the Federal share of the cost of planning , establishing, expanding, and/or operating community education programs. In addition, funds are made available to institutions of higher education to develop and establish or to expand programs which will train persons to plan and operate community education programs.

Funds are also authorized to make formula grants to State Educational agencies in accordance with the development of a State plan. The Federal share of the cost of the State plan shall be 80 per centum for fiscal year 1979, 70 per centum for fiscal year 1980, 30 per centum for fiscal year 1981, 30 per centum for fiscal year 1982, and 20 per centum for the fiscal year 1983. The Federal share of the cost of applications of local educational agencies shall be 90 per centum for fiscal years 1979 and 1980, 80 per centum for the fiscal year 1981 and each of the two succeeding fiscal years. The Federal share of the cost of grants to nonprofit organizations shall be 90 per centum for fiscal years 1979 and 1980, and 80 per centum for the fiscal year 1981 and for each of the two succeeding fiscal years.

Program Scope:

93 grants were awarded in Fiscal Year 1976.
92 grants were awarded in Fiscal Year 1977.
85 grants were awarded in Fiscal Year 1978.
63 grants were awarded in Fiscal Year 1979.
64 grants were awarded in Fiscal Year 1980.
60 grants were awarded in Fiscal Year 1981.

Institution	Amount of Appropriation	No. of Grants FY 81
LEA	$ 1,000,000	27
Public Agencies/Nonprofit	500,000	8
IHE	500,000	5
SEA	1,138,000	20

Program Effectiveness and Progress:

The Community Schools Act and the Community Schools and Comprehensive Community Education Act of 1978 mandated that the Community Education Advisory Council present to Congress a "complete and thorough evaluation of the programs and operation" of the Community Education Program for each year of the Act. To fulfill this requirement, the Advisory Council and the Division of Program Evaluation awarded a contract in September of 1979 to Development Associates, Inc., to conduct an evaluation study. The purpose of the national Evaluation of Community Education Program was twofold: (1) to describe and analyze the operations of state education agencies (SEAs) as they promote and develop the concept of community education in their respective states; and (2) to assess the impact of federal support on the capabilities of SEAs to develop their capacities in the community education area.

The study focuses on state education agencies and state capacity building for several reasons. In recent years, state education agencies have been defining and assuming a greater role in community education. The federal Community Education Program has supported this emergence of SEA leadership by placing heavy emphasis on state capacity-building through SEA development. In addition, the evaluation comes at the conclusion of a four-year federal funding cycle and the beginning of a new period of federal support. The year 1980, therefore, is a significant point at which to examine the leadership of SEAs and the impact of the federal program, as well as make recommendations to national and state policy makers in community education.

Through use of questionnaires completed by state community education coordinators and local community educators, site visits to thirty-eight states, and third-party evaluators, data was compiled for a detailed program analysis. Those findings, conclusions, and related recommendations were developed out of and structured around a series of questions on SEA community education policies and practices.

Most state community education programs were initiated in the mid 1970s. Of the 38 SEA programs which were visited and surveyed during this study, two-thirds began their programs between 1974 and 1977, coinciding with the time of the federal initiative. Of the 38 surveyed, 36 (96%) had formally designated statewide CE programs in 1980. Formal designation consisted variously of the appointment of a CE coordinator, the establishment of a CE office, the receipt of a federal grant, the approval of a state plan, or the passage of state legislation.

The extent and nature of community education programs within the 51 SEAs varies considerably in terms of state commitment to community education, certain structural features of CE offices, as well as in terms of specific operations and staff activities focused at the state and local levels. While state-level CE programs can be described in various ways, SEA programs can be seen as including 12 varied elements which can be used to describe commonalities and differences among the programs to summarize the national assessment of community education development.

While these 12 elements are grounded in the practice and activities of the SEA, all SEAs do not have all elements. In fact, one state has not yet developed any one of these elements and a few states have only several of the elements in place. Even so, almost all of the 12 elements exist in at least half of the states. The patterns of development and the extent to which certain or all of the elements were in place was a focus of this study. The descriptive question of what are the common elements of state community education systems became important. To answer this question, the Community Education Development Index (CEDI) was developed.

The presence and development of state commitment and state operational elements, varied across the elements and the 51 SEAs. For example, 25 SEAs received one point for SEA board resolutions and 25 SEAs received one point for having state CE legislation on the CEDI. However, only 12 states had both components of that policy element. Thus, 13 states did not have any form of state policy support.

There was, on the other hand, somewhat greater consistency in the CE office/staff element. That is, 46 SEAs had an office designated (all 51 SEAs had at least a part-time person responsible for some community education activity) for community education and 34 (67% of all SEAs and 76% of those with an office) had full-time CE coordinators.

Of the SEA operational elements, interagency cooperation (46 SEAs) was the most common element across all 51 SEAs and the use of a reporting system was the least common (24 SEAs).

The major findings were:

- The strongest components of the SEA CE programs were State needs assessment and interagency cooperation.
- The weakest components were in State planning, evaluating, and reporting.

- Only about half the States have strong commitments (supporting legislation, or funding) to CE programs.
- SEAs with full-time CE coordinators are most likely to have State-level operations in place.
- At least two consecutive years of Federal funding appears to be required to generate SEA CE program activation.
- The need exists for systematic and common data and for information on CE local programs aggregated at the State and national levels.

A final report on the Evaluation of the Community Education Program will be presented to Congress in the Fall of 1981.

For further information about program operations,

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Indochina Refugee and Adult Immigrants Program

Legislation:	Expiration Date:
Adult Education Act, Section 317, 318 (P.L. 91-230, as amended)	September 30, 1983

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1976	"Such sums as may be necessary	$5 Million Supplement to State grants
	1977	"	$10.25 Million
	1978	"	No appropriation
	1979	"	No appropriation
	1980	"	$22,600,000
	1981	No request	

Program Goals and Objectives:

The purpose of the Indochina Refugee and Adult Immigrants Program is to enable them to become productive members of American society. Funds are used to support programs of instruction in basic reading and mathematics, to develop and enhance necessary skills, and to promote literacy among adult Indochinese refugees. Administrative costs, educational support services, and special projects to develop individuals' occupational skills may be funded.

Program Operations:

The Secretary of Education may enter into grants or contracts with State and local education agencies and other public or private nonprofit agencies, organizations, or institutions to provide adult education programs. Not less than 50 per cent of the funds shall be awarded in contracts to private nonprofit agencies, organizations, and institutions.

There are three subprograms under this authority, as follows: The Emergency Adult Education Program for Indochina Refugees (Sec. 317 $2.5 million in FY 80), the Adult Education Program for Adult Immigrants (Section 318, $2.5 million), and the Adult Education

Program for Adult Immigrants (Sec. 318, Cuban and Haitian entrants, $17.6 million). Following is a discussion of the operations of each of these subprograms.

Indochinese Refugees (Sec. 317)

Five panels composed of both federal employees and non-federal persons reviewed applications submitted for funding under the Emergency Adult Education Program for Indochina Refugees. Awards were made on the basis of technical review criteria published in the Federal Register. After negotiations, funds are now being sent directly to the grantees, using the letter-of-credit systems.

Adult Immigrants (Sec. 318)

A Request for Proposal (RFP #81-038) announced this small discretionary program to fund "Special Adult Education Projects for Adult Immigrants." The closing date was May 18, 1981. The Department of Education has identified priority immigrant groups from four geographical areas which the adult education program will serve. Four panels of federal employees read the proposals and reviewed them in accordance with the technical review criteria published in the RFP. After negotiations, funds will be sent directly to the successful offerors on a cost reimbursable basis.

Adult Immigrants (Sec. 318 Cubans and Haitians)

Four separate REquests for Proposals announced this small discretionary program to fund Adult Education Programs for immigrants aged sixteen or older who were either Cuban or Haitian entrants after August 1, 1979. Eligible offerors could respond to four categories of RFP's:

#81-07 Haitians Residing in Florida
#81-08 Haitians Resideing Outside of Florida
#81-09 Cubans Residing in Florida
#81-10 Cubans Residing Outside of Florida

Four panels of federal employees read the proposals and reviewed them in accordance with the technical review criteria published in the RFP's. After negotiations, funds are being sent directly to the successful offerors on a cost reimbursable basis.

Program Scope:

Indochinese Refugees (Sec. 317)

The Department of Education awarded fifteen grants to the Indochinese training projects for a twelve month period. Grants were awarded on the basis of technical merit, and therefore, geographical distribution is uneven. The geographical distribution is: one project in Arizona, four in California, one in Florida, one in Indiana, one in Maryland, one in New Mexico, one in New York, one in Rhode Island, one in Texas, two in Virginia, and on in Washington State.

Although the distribution of funds was limited to fifteen projects in eleven states, 105 eligible proposals were received from offerors in 38 different states. This clearly indicates that the program's needs far exceed the federal dollars available.

The projects will serve 8,540 refugees at a total cost of $2,476,412.

Adult Immigrants (Sec. 318)

Approximately fifteen projects will be funded this summer at an average cost of $150,000. The four geographical areas of origin and the amount of funds available to serve immigrants from those areas are:

Geographical Area	Amount of Funds
(1) Asia and Oceania	$1,000,000
(2) South America and West Indies	$ 575,000
(3) Europe and Africa	$ 525,000
(4) North America and Central America	$ 400,000

The program will serve approximately 8500 immigrants at an average cost of $294 per participant.

Adult Immigrants (Sec. 318, Cubans and Haitians)

The Department of Education awarded nineteen contracts to the Cuban and Haitian projects for an eighteen-month period. Contracts were awarded on the basis of technical merit, and therefore geographical distribution is uneven. In order to achieve greater cost effectiveness, two of the contractors submitting proposals under both RFP 81-7 (Haitians in Florida) and RFP 81-9 (Cubans in Florida) received awards to serve both Cuban and Haitian entrants residing in Florida.

Cuban Programs

Eighteen eligible proposals were received in response to RFP 81-9. Of that number, awards were made to four contractors to serve Cuban entrants residing in the State of Florida. A total of 15,413 Cuban entrants in Florida are to be served a total of $7,070,870. Of the 49 eligible proposals submitted in response to RFP 81-10, awards were made to eight contractors serving Cuban entrants residing in States other than Florida. Under this procurement, a total of 7,343 will be served. The distribution of programs is as follows: two projects in California, one in Maryland, two in Massachusetts, one in New Jersey, one in New York, and one in Virginia.

In addition, three Sole Source contracts let by the U.S. Department of Education served 4,650 Cuban entrants residing in temporary holding camps. The three awards to provide English-as-a second language training programs were made to:

1. Board of Vocational, Technical and Adult Education
   Madison, Wisconsin - $389,807

   For training of Cubans at Fort McCoy, Wisconsin.

2. Central Susequehana Intermediate Unit
   Lewisburg, Pennsylvania - $396,

Haitian Programs

Fifteen eligible proposals were submitted in response to RFP 81-7. Of the fifteen offerors, three received contract awards to serve Haitian entrants residing in the State of Florida. A total of 4,873 entrants are to be served at a total cost of $2,649,547. Under RFP 81-8, of the 20 offerors, six contractors received awards to serve Haitian entrants residing in States other than Florida. A total of 4,698 Haitians are to be served at a total cost of $2,706,000. The geographic distribution of programs is as follows: one program in Delaware, one in Louisiana, one in Maryland, one in Massachusetts, one in New Jersey, and four in New York.

Program Effectiveness and Progress:

There has been no evaluation of this program.

Ongoing and Planned Studies:

There are no plans to evaluate this program.

Sources of Data:

Federal Register, Volume 44, No. 261, Thursday, June 28, 1979, Proposed Rules, Appendix C (The Adult Education Act).

Application for Grants Under Emergency Adult Education Program for Indochina Refugees, CDFA No. 13.579, Closing Date: June 18, 1980.

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E.

EVALUATION OF POSTSECONDARY EDUCATION

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Pell (Basic Educational Opportunity) Grant Program

Legislation:	**Expiration Date:**
Education Amendments of 1972, Title IV; Public Law 92-318, 86 Stat., 248-251; as amended PL. 94-482, PL. 95-566 and PL. 96-374	September 30, 1985

Funding History:	Year	Authorization	Appropriation
	1973	(Such sums as	$ 122,100,000
	1974	may be necessary)	475,000,000
	1975	"	840,200,000
	1976	"	1,325,800,000
	1977	"	1,903,900,000 1/
	1978	"	2,160,000,000 2/
	1979	"	2,431,000,000 3/
	1980	"	1,718,000,000 4/
	1981	"	2,604,000,000 5/
	1982	"	2,486,000,000 (est.)

Program Goals and Objectives:

The Pell (Basic Educational Opportunity) Grant Program is a source of Federal student financial aid which provides access and choice to Postsecondary education institutions for qualified students. The purpose of the Pell Grant Program is assure that all students have a "funding floor". In the 1980-81 academic year up to $1,750 was provided to help finance their education in an eligible Postsecondary institution.

Program Operations:

(a) Student Eligibility

Eligibility for Pell Grants is determined on the basis of financial need. Eligibility is limited to undergraduate students who

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1/ Of this amount, $211,700,000 was used for FY 76 awards.
2/ Of this amount, $579,000,000 was used for FY 80 awards.
3/ Of this amount, $54,000,000 was used for FY 80 awards.
4/ Excess monies in FY 78 and FY 79 were carried forward. $140,000,000 was rescinded. $258,000,000 was drawndown from FY 81. Total funds available was $2,469,000,000.
5/ Includes $150,000,000 reduction due to Budget Amendment. Includes Supplemented Appropriation. Of this amount $258,000,000 was drawndown for FY 80.

are enrolled and maintaining "satisfactory progress" on at least a half time basis in an eligible program at an eligible institution of postsecondary education. These institutions include non-profit colleges and universities as well as postsecondary vocational, technical and profit-making institutions.

(b) Family Contribution Schedule

The law requires the Secretary to submit to Congress each year for approval a schedule indicating the formula for determining the Expected Family Contribution (EFC). The determination of a student's financial need rests in part on a determination of the amount a family is expected to contribute to a student's postsecondary education. The formula takes into account parental and student income, assets, family size, number of family members in postsecondary education and educational expenses of other dependent students, Separate formulas are used for dependent and independent students.

(c) Calculation of Awards at Full Funding

The maximum award $1,750 in academic year 1980-81. The minimum award is $200. The amount of a student's Pell Grant entitlement is equal to $1,750 minus the expected family contribution. There is a further limitation that payments cannot exceed one-half the cost of attendance, which includes actual or average tuition and fee charges, actual or average room and board charges or a standard $1,100 living allowance and a miscellaneous allowance of $400. Finally, an award cannot exceed the difference between cost and expected family contribution. In addition, the amount of the student's award is reduced if the student is attending half-time.

(d) Calculation of Awards at Less than Full Funding

In the event that sufficient funds are not available to fully fund all grants, student entitlements must be reduced in accordance with the following provisions:

If the expected family contribution is:	The student's entitlement will be:
0 - 600	100% of the amount
601 - 800	90% of the amount
801 - 1000	80% of the amount
1001 - 1200	70% of the amount
1201 - 1600	60% of the amount
1601 +	50% of the amount

The minimum award is $50 at less than full funding. Awards may not exceed one-half the cost of attendance, nor can they exceed the difference between the cost of attendance and the expected family contribution. No students may receive an award under reduced funding who would not have received an award of at least $200 under full funding. The amount of the student's award is reduced if the student is attending half-time.

(e) Application for Eligibility

Students apply for Pell Grant awards annually by filing a Pell Grant application or other approved form. This application requests financial information of the student and the student's family that is necessary to calculate the expected family financial contribution. The application is sumbitted to a contractor which processes it and returns to the student a student eligibility report (SER) which contains a student eligibility index (SEI). The SEI is equivalent to the expected family contribution. The student receives a Pell grant by submitting the SER to the institution's financial aid office. At the financial aid office the size of the Pell Grant is determined on the basis of the SEI and the cost of attendance at that institution. The award is generally disbursed by the institution.

Program Scope

Table 1 provides summary statistics for the program since its inception. The Pell (Basic) Grant program has grown from fewer than 200,000 recipients receiving under $50 million in 1973-74 to about 2.8 million recipients receiving $2.4 billion in 1980-81. During this period the average award grew by nearly $600 and potential eligibility expanded from full time freshmen to all undergraduates enrolled on at least a half time basis.

In addition to this dramatic growth in size there has been a change in the composition of Pell Grant recipients. Table 2 shows the distribution of recipients by family income and dependency status for the award periods 1975-76 through estimates for 1979-80. There was a large growth in the percentage of "independent" recipients after 1975-76. Most recently, the implementation of the Middle Income Student Assistance Act (P.L. 95-566) in 1979-80, caused a substantial shift in the distribution towards middle-income dependent students. As Table 3 shows this change in distribution has also been reflected in the change in the number of recipients by income category. It is estimated that the number of dependent Pell recipients from families below $12,000 decreased between 1976-77 and 1979-80. The remaining dependent and independent recipient categories showed a large increase.

The program provides assistance to a large majority of low-income students (Table 4). As we would expect, as family income increases participation in the program decreases. Table 5 shows the distribution of Pell Grants by ethnicity and sex for 1978-79.

One measure of the effectiveness of the Pell Grant Program is its ability to equalize the "floor" of financial aid to help defray the costs of a postsecondary education. That is, students have, as an expected minimum, a financial contribution expected from the family and a Pell Grant from the Federal government. If the sum of these two, the "floor," is fairly constant across family income levels then students start out facing the same financial barriers regardless of family income. Table 4 shows that to a great extent this "floor" is being equalized for dependent student aid applicants with family incomes up to about $18,000, once institutional type has been controlled for.

For example, in 1979-80 dependent student aid applicants enrolled at four-year public schools have the sum of expected family contribution and Pell Grant equal to about 48 percent of cost up to $18,000 of family income. In 4-year private schools the equalization appears up to about $18,000 at around 35 percent. At incomes above $18,000 these fractions of cost increase.

For independent students, the fraction of cost met by expected contribution and Pell Grant was, in 1979-80, generally lower than those under $18,000 dependent student by institutional sector. The cost of education for independent students is, on average, higher than that for dependent students. This is due to a higher likelihood of independent students having dependents to support. Thus, with the fraction of cost met by expected family contribution and, Pell Grants lower for independent and dependent students, the dollar amounts required from other sources are higher for independent students than for dependent students.

As a result of the Middle Income Student Assistance Act (MISAA) the total dollar awards increased for all categories of income and dependency status between 1978-79 and 1979-80. Also, there has been a dramatic shift in the relative share of Pell Grant funds and recipients toward the middle income student (See Table 7 for an indication of the change in distribution for first time students). In addition, the effect of Pell Grants has been the near equalization of the "floor" of combined Pell Grant and expected family contribution as a percentage of cost for dependent student aid applicants with family incomes up to $18,000, once institutional type is controlled for. It was also found that women and minorities receive Pell Grants in proportions greater than their shares of the undergraduate enrollment.

Table 3 showed a decrease in 1979-80 in the number of Pell Grant recipients who were dependent and from families with incomes under $12,000. However, the Middle Income Student Assistance Act which went into effect in 1979-80 provided for lower expected family contributions and an increase in the maximum award. As a result, the total funds awarded to each income group increased. The percentage increase in funds was slight in the low income categories and quite large in the middle and upper income groups.

Table 5 indicates that women and minorities receive a larger share of Pell Grant funds than their proportion of the undergraduate enrollment. One suspects the lower average income of minority students accounts for the distribution by ethnicity. It is not clear whether lower income or higher propensity of women to apply for aid accounts for the distribution by sex.

Program Effectiveness and Progress

The Middle Income Student Assistance Act of 1978 (MISAA) generally made more student aid available to financial aid recipients with family income above $15,000. A 1980 study of the impact of MISAA on aid recipients of individual programs shows that there was a very dramatic effect upon Pell Grant recipients in almost all income groups during the year after passage of MISAA. Every income category had an increased probability of receiving a Pell Grant (Figure 1). This increased probability was smallest for the two lowest income categories, increasing from .72 to .76 in the $0-6000 group and from .74 to .77 in the $6-12,000 bracket. For those with family incomes above $12,000, however, the increased probabilities of award were very large: from .46 to .66 ($12-18,000); from .18 to .52 ($18-25,000); from .06 to .34 ($25-30,000); and, from .04 to .08 for those with family income above $30,000.

Furthermore, Pell Grant awards were generally larger, with only the $6-12,000 group receiving somewhat smaller average awards (Figure 2). The lowest income group had an average award which increased by 13%. Middle-income recipients had significantly larger increases in average Pell Grant awards: 41 percent for the $12-18,000 bracket and 46 percent for the $18-25,000 segment. Even the $25-30,000 group had a small increase of 3%.

These distributions indicate that MISAA had a large and immediate effect on middle-income students applying for participation in the Pell Grant program.

Ongoing and Planned Evaluation Studies

Although recent impact studies have been completed, A Higher Education Panel Study been developed to determine how much financial aid is received by summer session students. It will also survey the use of electronic data processing equipment in the administration of student financial aid at the institution level. A new study building upon earlier works will begin in the fall of 1982 to study the impact of expected changes in the Higher Education Amendments of 1980.

Source of Evaluation Data

Applied Management Sciences, Inc., "Study of Program Management Procedures in the Campus-Based and Basic Grant Programs, "U.S. Office of Education, OED, Contract #300-77-0498.

Program files, Office of Postsecondary Education.

For further information about program operations,

Contact: Joseph Vignone, 472-4300

For further information about studies of program effectiveness,

Contact: Dan Morrissey, 245-7884

Table 1

Pell Grant Program
Summary Statistics For Cross-Year Reference

	AWARD PERIOD							
	1973-1974	1974-1975	1975-1976	1976-1977	1977-1978	1978-1979	1979-1980	1980-1981 1/
Number of Applicants Submitting Official Applications	512,866	1,304,877	2,339,337	3,590,379	3,884,047	3,885,383	4,186,716	2/
Number of Applicants Submitting Valid Applications	482,331	1,114,084	2,178,696	3,408,718	3,621,641	3,401,428	3,868,429	2/
Number and Percent of Qualified Applicants	268,444 (52.34%)	681,648 (52.24%)	1,455,187 (62.20%)	2,258,043 (62.18%)	2,390,320 (66.18%)	2,228,603 (57.35%)	3,029,745 (72.36%)	2/
Number and Percent of Non-Qualified Applicants	213,887 (41.70%)	432,436 (33.14%)	723,509 (30.93%)	1,150,675 (32.05%)	1,231,321 (32.03%)	1,172,825 (30.19%)	838,684 (20.03%)	2/
Number and Percent of Applicants Returned for Insufficient Data and Never Re-submitted for Processing	30,535 (5.96%)	190.793 (14.62%)	160.641 (6.87%)	181,661 (5.06)	222.406 (5.79%)	483,955 (12.46%)	318,287 (7.60%)	2/
Number of Applicants Submitting Unofficial Applications						348,236	280,918	2/
Classes of Eligible Applicants	Full time Freshmen	Full time Freshmen & Sophomores	Freshmen Sophomores Juniors	All Under-Graduates	All Under-Graduates	All Under-Graduates	All Under-Graduates	All Under-Graduates
Number of Eligible Applicants Selected for Validation						119,263	232,118	2/
Number of Recipients	176,000	567,000	1,217,000	1,944,000	2,011,000	1,893,000	2,537,875	2,855,000
Total Expenditures	47,589,000	$356,353,000	$925,998,000	$1,475,444,000	$1,524,340,000	$1,580,947,000	$2,504,911,291	$2,518,000,000
Average Basic Grant	$270	$628	$761	$759	$758	$825	$987	$882
Minimum Basic Grant	$ 50	$50	$200	$200	$200	$50	$200	$150
Maximum Basic Grant	$452	$1,050	$1,400	$1,400	$1,400	$1,600	$1,800	$1,750

1. The percentages of Qualified Applicants and Non-Qualified Applicants and the percentage of Applicants returned for Insufficient Data and Never Re-submitted to Processing add up to 100 percent.
2. The minimum Basic Grant for the 1974-75 and 1978-79 Award Periods was $50 due to reduced funding.

1/ Estimated
2/ Not currently available

Source: OSFA, USOE.

Table 2
Changing Composition of Pell Grant Recipients
By Student Status

	Percent of Recipients				
	1975-76	1976-77	1977-78	1978-79	1979-80
Independent Students	27%	35%	39%	36%	32%
Dependent Students by Family Income					
Less than $6,000	30	26	25	22	13
$6,000-12,000	32	28	25	25	19
Over $12,000	11	11	11	17	36
TOTAL	100%	100%	100%	100%	100%

Source: Office of Student Financial Assistance's Merged Applicant Recipient data files.

Table 3

Changes in the Number of Basic Grant Recipients

Number of Recipients in Thousands (% Increase From Prior Year)

	1976-77	1977-78	1978-79	1979-80
Independent Students	700(+111%)	710	674(-5%)	857(+27%)
Dependent Students by Family Income				
Less than $6,000	506(+37%)	622	401(-36%)	338(-16%)
$6,000-12,000	545(+39%)	365	456(+25%)	470(+3%)
Over $12,000	214(+58%)	149	306(+105%)	903(+195)
TOTAL	1945(+58%) 1/	1846 2/3/	1837(+7%) 2/	2538(+38%) 2/

Source: 1/ See Table 7

2/ See Table 2

3/ Because data is from 2 different sources, % change is not calculated from 1976-77 to 1977-78.

Table 4

Percentage of Postsecondary Undergraduates Enrolled at Least Half-Time Receiving Pell Grant Awards in 1978-79

Independent Students	32%
Dependent Students by Family Income	
Less than $6,000	79%
$ 6,000-12,000	62%
$12,000-18,000	33%
$18,000-25,000	10%
$25,000-30,000	5%
Over $30,000	1%
TOTAL	29% All Income Categories

Source: "Study of Program Management Procedures in the Campus-Based and Basic Grants Program - Stage 2", Applied Management Sciences, Silver Spring, Maryland. Funded by the Office of Evaluation and Dissemination, USOE.

Table 5

Distribution of Basic Grants by Ethnicity and Sex-1978-79

Ethnicity	Percentage of Recipients	Percentage of Dollar Awards	Undergraduate Population
1. American Indian/ Alaskan Native	2.8	3.1	0.8
2. Asian/Pacific Islander	3.2	3.0	3.3
3. Black, Not Hispanic	34.0	36.7	12.3
4. Hispanic	16.8	15.4	6.0
5. White	43.3	41.8	77.5
TOTAL	100.0	100.0	100.0
Sex			
1. Male	39.6	38.9	45.5
2. Female	60.4	61.1	54.5
TOTAL	100.0	100.0	100.0

Source: "Study of Program Management Procedures in the Campus-Based and Basic Grants Programs - Stage 2", Applied Management Sciences; Silver Spring, Maryland. Funded by the Office of Evaluation and Dissemination, USOE.

Table 6

EFC + BEOG as the "Floor" - Per Cent of Cost Met by Expected Family Contribution and Basic Grants for Aid Applicants By Family Income (1979-80)

	Four-Year Public		Four-Year Private		Two-Year Public		Two-Year Private		Proprietary	
	EFC	EFC & BEOG	EFC	EFC & BEOG	EFC	EFC & BEOG	EFC	EFC & BEOG	EFC	EFC & BEOG
Dependent Student Family Income										
$0- 6,000	6	48	8	35	18	49	15	49	11	45
6,000-12,000	10	47	9	31	21	53	15	46	15	46
12,000-18,000	19	47	19	35	28	58	20	45	27	50
18,000-24,000	36	56	28	40	39	62	33	53	27	43
24,000-30,000	44	58	46	45	49	70	55	68	32	41
Over $30,000	53	61	56	59	*	*	69	71	*	*
Independent	8	24	8	20	10	56	12	33	6	31

Source: "Study of the Impact of the Middle Income Student Assistance Act"; Applied Management Sciences; Silver Spring, Maryland. Funded by the Office of Evaluation and Dissemination, USOE.

* Insufficient data.

FIGURE 1

PROBABILITY OF BEOG AWARD PRIOR TO AND AFTER THE ENACTMENT OF MISAA BY INCOME LEVEL OF RECIPIENTS

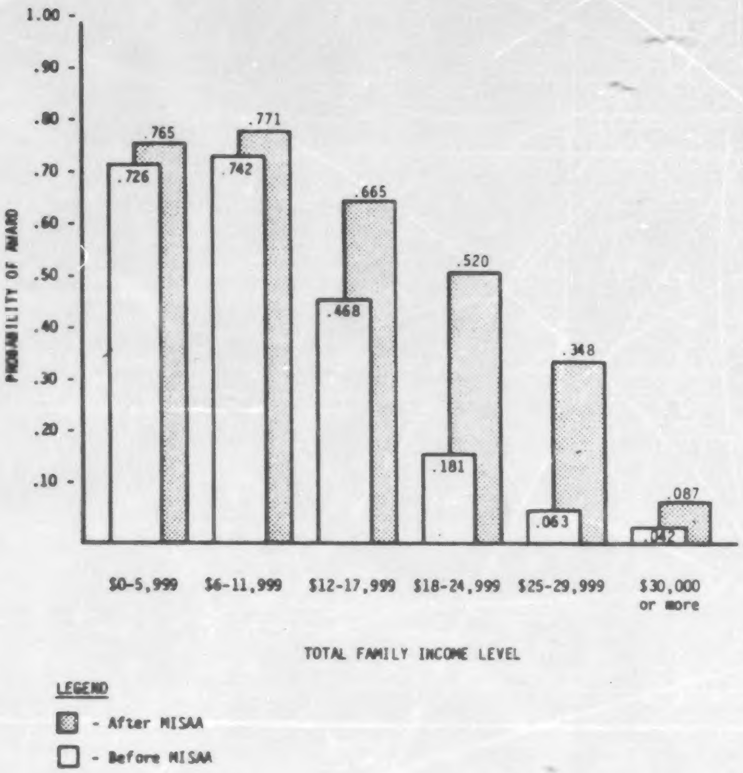
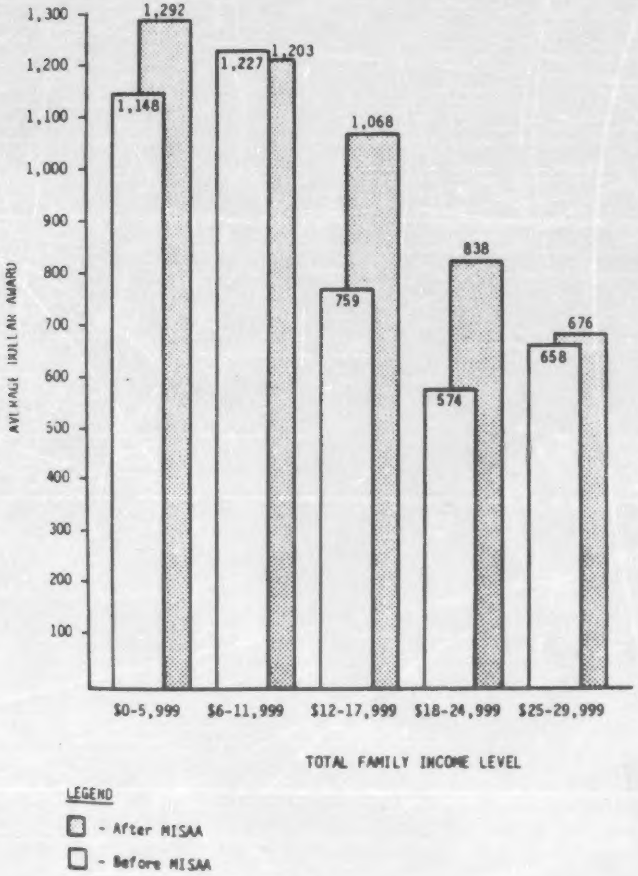


FIGURE 2

AVERAGE BEOG AWARD PRIOR TO AND AFTER THE ENACTMENT OF MISAA BY INCOME LEVEL OF RECIPIENTS



ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Supplemental Educational Opportunity Grants Program

Legislation:	Expiration Date:
Title IV Subpart A-2, Public Law 92-318, 86 Stat. 251; as amended PL. 94-482 and PL. 96-374	September 30, 1985

Funding History:	Year	Authorization 1/	Appropriation
	1974	$200,000,000	$210,300,000
	1975	200,000,000	240,300,000
	1976	200,000,000	240,093,000
	1977	200,000,000	250,093,000
	1978	200,000,000	270,093,000
	1979	200,000,000	340,100,000
	1980	200,000,000	370,000,000
	1981	200,000,000	370,000,000
	1982	200,000,000	370,000,000 (est.)

Program Goals and Objectives

The purpose of the Supplemental Educational Opportunity Grants (SEOG) Program is "to provide, through institutions of higher education, supplemental grants to assist in making available the benefits of postsecondary education to qualified students who demonstrate financial need in accordance with the provisions of Section 482." The more general related goal is to contribute to the promotion of the financial aspect of equality of educational opportunity at the postsecondary level by equalizing the sum of expected family contribution and grant aid among students at similar costs institutions.

Program Operations

(a) Student Eligibility

SEOG awards are limited to students who are enrolled at least half-time as undergraduates at their respective institutions, who maintain "satisfatory progress," and who have "financial need." Institutions may use 10 percent of their SEOG funds to make awards to undergraduate students who are enrolled less than half-time.

1/ For initial year grants plus such sums as may be needed for continuing grants.

(b) Student Applicants and Awards

Students apply for SEOG's through the financial aid administrators at their institutions. The financial aid administrator determines, individual awards and amounts on the basis of available funds and the financial needs of students. The maximum SEOG is $2,000 per year. A student is eligible to receive a supplemental grant for the period of time needed to complete the first undergraduate baccalaureate course of study.

(c) Institutional Applications and Awards

For purposes of Federal allocation to institutions there are actually two SEOG programs--an initial year (IY) and a continuing year (CY) program. The Department of Education determines the proportions of total program funding that are allotted to IY and CY uses. Initial year awards can only be made to students who have never before received an SEOG while continuing year awards can only be made to prior recipients. The 1980 amendments distribute funds by IY and CY categories but expenditures may be interchanged between IY and CY funds and needed.

Institutions apply for SEOG funds, both IY and CY, annually through the "FISAP" (combined Fiscal Operations Report and Application for Campus-Based Aid). The FISAP became operational in the fall of 1978 for funds to be used during the 1979-80 academic year. Prior to this, institutions applied for funds by an application for a specific funding level that was reviewed at the ED Regional Office level. Institutional awards were determined by prorating approved application requests on a State by State basis so as not to exceed total appropriations.

The current process allots both IY and CY funds to States for further allocation to institutions in the states on the basis of a statutory formulas. All data elements used to compute an institution's allocation funding level are auditable and verifiable.

Program Scope

The SEOG program has grown from $210 million in the 1974-75 academic year to $370 million for the 1980-81 academic year or 76 percent over six years. The average (per recipient) award has risen over this period from about $500 to over $600.

The changing composition of SEOG recipients is shown in Table 1. There has been an increase in the percentages of recipients who are declared "independent" of their parents for financial aid purposes and of dependent recipients with family income above $12,000. Table 2, shows the distribution of SEOG recipients and funds by ethnicity and gender for 1978-79.

The percentage of undergraduates enrolled at least half-time receiving SEOG in 1978-79 is shown in Table 3. As family income decreases the liklihood of being a recipient increases. There were approximately one-half million student recipients during 1978-79.

There are approximately 3,600 institutions participating in the SEOG program. Their funding by type and control is shown in Table 4. Although only about 20 percent of all undergraduates are enrolled in private institutions, roughly 40 percent of the SEOG funds went to these schools. This is because needy students at higher-cost private institutions require larger amounts of aid than they would require at generally lower-cost public institutions.

Program Effectiveness and Progress

- SEOG awards are meeting between three and four percent of the cost of attendance of undergraduate student aid applicants. (Table 5)
- Within institutional type the fraction of cost being met by SEOG generally remained the same up to about $24,000 in family income and remained fairly constant by year in school.
- In 1979-80 an estimated 13 percent of all SEOG recipients did not receive a Basic Grant. In 1978-79, this figure was 25 percent. (Table 6)
- Women and minorities received SEOG awards in greater proportions than their share of the undergraduate enrollment.

Table 5 shows the estimated increase in the percentage of budget met by nonreturnable (expected family contribution, grants, and scholarships) aid attributable to SEOG. The average increase is between 3 and 4 percent of budget - slightly higher in the public and proprietary sectors, lower in the private sector. Within each sector, these budget percentages remained fairly constant up to $24,000 in family income and decreased for aid applicants having more than $24,000 of family income. There were no major differences by year in school.

In Table 6, the percentage of SEOG recipients who do not receive Pell Grants is shown. In total, about 13 percent of SEOG recipients (fewer then 100,000) did not receive a Basic Grant in 1979-80. This contrasts sharply with 1978-79 in which around 25 percent of SEOG recipients, did not receive a Basic Grant. For dependent students with family incomes above $18,000 more than half of all SEOG recipients did not receive Basic Grants in 1978-79. With the passage of the Middle Income Student Assistance Act in 1979-80, and its expanded eligibility for Basic Grants, these percentages have dropped sharply.

The Middle Income Student Assistance Act of 1978 (MISAA) generally made more student aid available to financial aid recipients with family income above $15,000. A 1980 study of the impact of MISAA on aid recipients of individual programs shows that applicants generally had a slightly reduced probability of receiving an SEOG award after the passage of MISAA. All income groups except the two highest had reduced chances of obtaining an SEOG award (Figure 1). However, the magnitude of these changes was insignificant except for the $6-12,000 group where the probability of a SEOG award dropped from .23 to .20.

Table 1

Income Distribution of SEOG Recipients in Percents
From 1974-75 to 1979-80

	1974-75	1976-77	1978-79	1979-80
Less than $6,000	39%	24	17	17
6,000 - 12,000	30	31	21	20
Over 12,000	6	19	31	32
Independent	25	26	31	31
Total	100	100	100	100

Sources: "Study of Program Management Procedures in the Campus-Based and Basic Grant Programs - Stage 2", and "Study of the Impact of the Middle Income Student Assistance Act;" Applied Management Sciences, Silver Spring, Maryland. Funded by the Office of Evaluation and Dissemination, USOE.

Table 2

Distribution of Supplemental Grants by Ethnicity and Gender 1978-79

	Percentage of Recipients	Percentage of Dollar Awards	Undergraduate Population
Ethnicity			
American Indian/ Alaskan Native	2.4	2.5	0.8
Asian/Pacific	4.4	4.5	3.3
Black, Not Hispanic	34.7	33.7	12.3
Hispanic	10.7	11.0	6.0
White	47.9	48.3	77.5
Total	100.0	100.0	100.0
Gender			
Male	42.3	41.6	45.5
Female	57.3	58.4	54.4
Total	100.0	100.0	100.0

Source: "Study of Program Management Procedures in the Campus-Based and Basic Grants Programs - Stage 2;" Applied Management Sciences; Silver Spring, Maryland. Funded by the Office of Evaluation and Dissemination, USOE.

Table 3

Percentage of Postsecondary Undergraduates Enrolled at Least Half-time Receiving SEOG in 1978-79

All Income Categories	9%
Independent	10%
Dependent with Family Income	
$ 0 - 6,000	21%
6,000 - 12,000	16%
12,000 - 18,000	11%
18,000 - 24,000	4%
24,000 - 30,000	2%
Over $30,000	less than 1%

Table 4

Distribution of 1978-79 and 1979-80 Allocations of SEOG by Type of Institution

	SEOG-IY			SEOG-CY			SEOG-Total		
	1978-79	1979-80	1980-81	1978-79	1979-80	1980-1981	1978-79	1979-80	1980-81
Four-Year Public	34%	34%	35%	43%	41%	41%	38%	37%	38%
Four-Year Private	30	32	31	42	45	43	36	38	36
Two-Year Public	17	16	17	10	9	10	14	13	14
Two-Year Private	3	4	3	2	3	3	3	3	3
Proprietary	16	14	14	2	2	3	10	9	9
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%
National Allocation ($ million)	146	184	200	124	156	170	270	340	370

Source: Office of Student Financial Assistance.

Table 5

Percent of Cost Being Met by "Packaged" Non-Returnable Aid, With and Without SEOG for 1979-80 By Type of Institution

Student Type	Four-Year Public		Four-Year Private		Two-Year Public		Two-Year Private		Proprietary	
	w/ SEOG	w/o SEOG	w/ SEOG	w/o SEOG	w/ SEOG	w/o SEOG	w/ SEOG	w/o SEOG	w/ SEOG	w/o SEOG
Independent	34	32	36	32	34	31	45	44	39	37
Dependent With Family Income:										
$0 - 6,000	67	62	62	57	61	55	61	60	56	51
6,000 - 12,000	60	57	60	54	61	55	65	64	58	52
12,000 - 18,000	59	56	60	56	67	60	57	56	61	55
18,000 - 24,000	66	64	65	61	67	64	66	65	53	48
24,000 - 30,000	64	63	68	66	72	72	77	77	*	*
Over 30,000	70	69	75	74	*	*	82	81	*	*
All	54	51	59	56	48	44	58	57	47	43
Freshman	60	49	63	59	49	45	58	57	47	43
Sophomore	[illegible]	49	60	57	47	41	59	58	46	43
Junior	[illegible]	49	55	52	—	—	—	—	—	—
Senior	[illegible]	47	55	52	—	—	—	—	—	—

Source: "Study of Program Management Procedures in the Campus-Based and Basic Grant Programs - Stage 2"; Applied Management Sciences; Silver Spring, Maryland. Funded by the Office of Evaluation and Dissemination, USOE.

*Insufficient Data.

Table 6

Estimated Percent of SEOG Recipients with No BEOG for 1979-80 by Type of Institution

	Four-Year Public	Four-Year Private	Two-Year Public	Two-Year Private	Proprietary
$ 0 - 6,000	6%	4	6	0	3
6,000 - 12,000	7	5	1	8	0
12,000 - 18,000	5	7	19	10	0
18,000 - 24,000	19	19	25	9	26
24,000 - 30,000	9	23	—	19	—
Over 30,000	17	43	—	—	—
Independent	17	12	26	43	5
Total	11	12	19	13	5

Source: "Study of the Impact of the Middle Income Student Assistance Act;" Applied Management Sciences, Silver Spring, Maryland. Funded by the Office of Evaluation and Dissemination, USOE.

FIGURE 1

PROBABILITY OF SEOG AWARD PRIOR TO AND AFTER THE ENACTMENT OF MISAA BY INCOME LEVEL OF RECIPIENTS

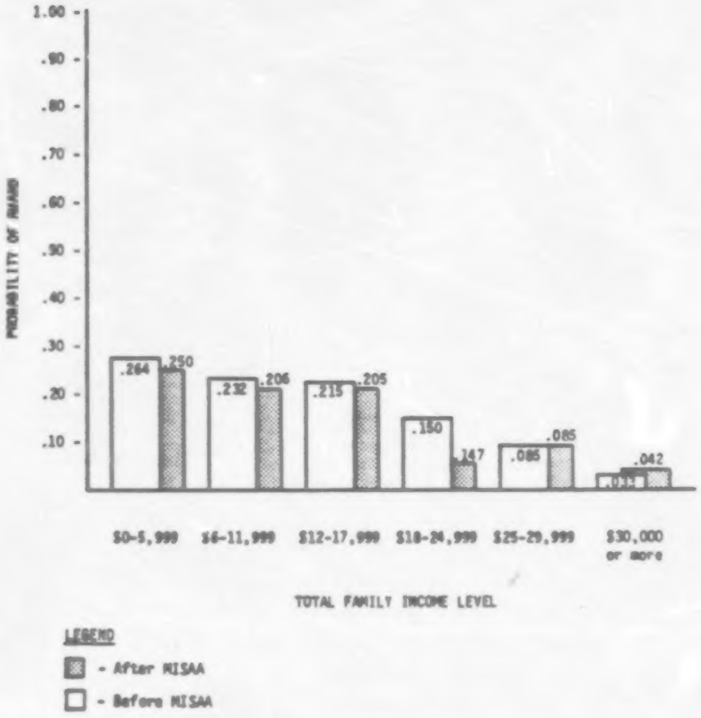
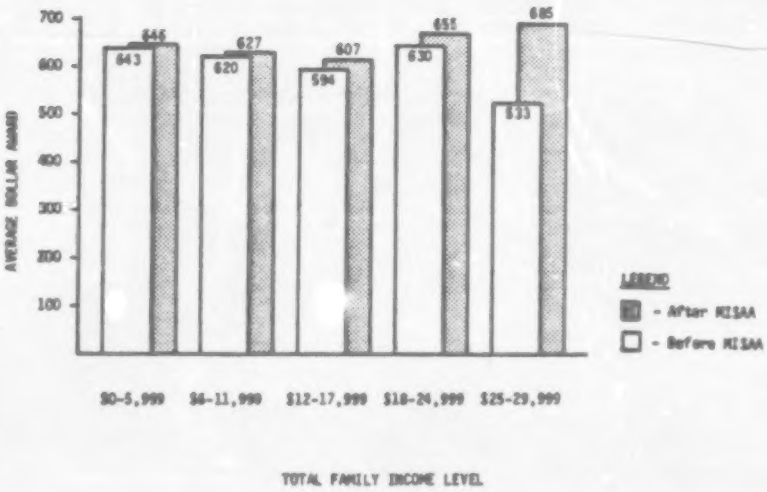


FIGURE 2

AVERAGE SEOG AWARD PRIOR TO AND AFTER THE ENACTMENT OF MISAA BY INCOME LEVEL OF RECIPIENTS



TOTAL FAMILY INCOME LEVEL

The average size of a SEOG award after MISAA was only insignificantly larger for most income groups (Figure 2). Average increases of 2 percent or less were recorded for those with family incomes up to $18,000 while those in the $18-25,000 category had an average increase of 4 percent and those in the $25-30,000 bracket had an increase averaging 28 percent.

Ongoing and Planned Evaluation Studies:

All recent studies have been completed. A new study to measure the impact of changes made in the program as a result of the Higher Education Amendments of 1980 will be conducted in the Fall of 1982.

Sources of Evaluation Data:

Applied Management Sciences, Inc., "Study of the Impact of the Middle Income Student Assistance Act," U.S. Office of Education, OED, Contract #300-79-043.

Program files, Office of Postsecondary Education.

For further information about program operations,

Contact: Robert Coates, 245-2320.

For further information about studies of program effectiveness,

Contact: Daniel Morrissey, 245-7884.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

State Student Incentive Grant Program

Legislation:

Title IV, Subpart A-3 of the Higher Education Act; as added by Public Law 92-318; as amended by Public Laws 94-482, 95-43, 95-566, 96-96, and 96-374.

Expiration Date:

September 30, 1985

Funding History:

Year	Authorization	Appropriation
1973	$50,000,000 1/	None
1974	50,000,000 1/	$20,000,000 2/
1975	50,000,000 1/	20,000,000
1976	50,000,000 1/	44,000,000
1977	50,000,000 1/	60,000,000
1978	50,000,000 1/	63,750,000
1979	50,000,000 1/	76,750,000
1980	50,000,000 1/	76,750,000
1981	100,000,000	76,750,000
1982	100,000,000	76,750,000
1983	150,000,000	
1984	200,000,000	
1985	250,000,000	

Program Goals and Objectives:

The SSIG program is designed to encourage States to develop or expand grant assistance to students with "substantial financial need" who attend eligible postsecondary institutions by sharing the cost of such state grants. Through this Federal-State partnership in student assistance, SSIG contributes to, and provides an incentive for States to contribute to, the longer term goal of equality of educational opportunity. At the same time, the network of State scholarship agencies provides a locus for State attention to the needs of higher education students in particular and the State's higher education services in general.

Program Operations:

SSIGP is a 50-50 cost-sharing (State-Federal) program under which Federal funds are allotted/reallotted to the States based on a formula reflecting current student attendance patterns. Reallotment is permitted if a State does not use all of its current allotment. Disbursements are made directly

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1/ Plus such sums as may be needed for continuation grants.
2/ Only $19,000,000 was released for allotment.

from the Federal Government to the States and from the States to postsecondary institutions on behalf of students. While States are responsible for the selection of grant recipients, selection criteria are subject to review by the Secretary, and individual student grants are limited to $2,000 per academic year. States pay all administrative costs and may employ any distribution procedure that falls within the overall scope of the statute.

States are required to administer the funds through a single State agency, with no Federal allowance for administrative costs. To ensure maintenance of effort, State matching for student awards must be in excess of the amount the State spent for grants two fiscal years prior to the year the State initially received aid under the SSIG program. Education Amendments of 1980 provide that student grant expenditures by States must not be less than the average for the preceding three fiscal years or the average per fulltime student for those years.

Program Scope:

Fifty-seven States and territories are potentially eligible for matching grants under the SSIG program. In FY 1974, the first year of SSIG operation, scholarship programs were expanded in 27 States, and completely new programs were established in 14 States and territories. The following year, 9 new States and the District of Columbia joined the network of jurisdictions with operational State scholarship programs. By FY 1978, all eligible States and territories had joined in the SSIG network. Table 1 shows the growth of State aid programs, including the Federal share of total State grant payout.

Table 2 shows the unevenness of State matching capability and the degree to which some States are dependent upon SSIG incentives to maintain their needbased scholarship programs. For the nation as a whole, in 1980-81, SSIG funds ($76.75 million) are approximately 8% (with matching, 16%) of the total State grant payout ($912 million). All States use SSIG and State matching to expand eligibility; however, 28 States - primarily those with newer State grant programs - depend heavily upon SSIG plus matching to support their original programs. Based on their higher education enrollments, these 28 States all together receive and match almost a third of the SSIG appropriation, but their total payout for scholarships is only $86 million, or less than 10 percent of the total nationwide payout. In fact, 16 of these States depend entirely upon SSIG and State matching for their scholarship programs; these 16 States are eligible for approximately $8 million in SSIG funds, based on their higher education enrollments, but they are not now able to match all of it and are releasing more than $1 million for reallotment to other States. The total payout of these States, including SSIG and matching, is $14.7 million, or about 2 percent of the total nationwide State grant payout. The chief observation from internal evidence related to the above analysis is that States need time to develop their State grant programs and to expand their eligibility to students and institutions.

At the other end of the matching continuum, 6 States with mature programs (New York, Pennsylvania, Vermont, Illinois, New Jersey, and Minnesota) heavily overmatch their SSIG funds. Based on their enrollments, these 6 States receive $17.5 Million (23%) of the SSIG appropriation; however, because thay have strong State programs, their total payout is estimated at $518 million or approximately 56% of the total nationwide.

Between the two groups at opposite ends of the matching continuum are 17 other States which, together, are eligible for $34 million or about 45% of the SSIG appropriation and estimate their payout at $309 million or 34% of total State grants nationwide.

Under the definition of "substantial financial need," States have a wide latitude in their selection of grant recipients. Some States define "relative need" as the difference between the student's resources and the cost of attending his particular institution. Others measure need in terms of income, giving larger grants to those with least resources. Some States use need criteria established by State law, leaving institutions to make up the difference between State awards and student need.

The original SSIG statute provided separate authorization for initial and continuation student awards. As the pattern of support for four full undergraduate years was reached, the program was level funded. However, the limitation on the amount of funds which could be spent for initial awards forced States to keep separate records in order to account for continuations; the 1980 amendments consolidate the authorization into a single program, effective in the fall of 1980, and permit States -- at their option -- to include graduate and less-than-half-time students, thus expanding assistance to nontraditional students.

Program Effectiveness and Progress:

- Available data suggest that the SSIG program has been highly successful in stimulating the development of a network of State scholarship programs for the delivery of financial aid to students. The number of States with such programs almost doubled during the first two years of SSIG operations. By Fiscal Year 1978 all States and territories had joined the SSIG delivery system. Annual surveys of the National Association of State Scholarship and Grant Programs report that the State level of funding for student aid has risen dramatically over the years the SSIG has been in effect. Table 1 shows the growth in State programs and the amount from SSIG. When SSIG was started in 1974-75, the total State-grant payout nationwide was $440.8 million, including $19 million from SSIG. In 1980-81, State-grant payout is estimated at $912.0 million, of which $76.75 million is from SSIG.

- Rates of growth among State programs vary markedly, depending upon State economic conditions and philosophy; the newer programs need time to develop matching capability. Table 3 and other background information for Table 2 shows that States with mature scholarship programs (those with programs in existence before SSIG) generally have considerable overmatching, while those with programs started more recently depend more heavily upon Federal funds and State matching. For example, of the 23 States where SSIG Federal funds account for less than 20 percent of total State grant payout, only three States (Virginia, Colorado, and Kentucky) did not have any programs in operation before SSIG. By comparison, of the 22 States where SSIG is 30 percent or more of total State grant payout, only two States (North Dakota and Washington) had any kind of State scholarship programs before SSIG.

- State grant assistance is distributed more towards middle and upper income students than is Federal grant assistance. This is shown in Table 4.
- Approximately 15 percent of all undergraduates enrolled at least half-time received need-based State grants in 1978-79. Tables 5A and 5B break down this percentage by income and by type and control of institution. As expected, the proportion of undergraduates receiving need-based State grants decreases with increasing income.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

National Association of State Scholarship and Grant Programs, 12th Annual Survey, November, 1980.

Education Commission of the States, "Study of State Student Incentive Grant Programs and State Scholarship Programs," U.S. Office of Education, OED, Contract #300-76-0367.

Program files, Office of Postsecondary Education.

Applied Management Sciences, Inc., "Study of Program Management Procedures in the Campus-Based and Basic Grant Programs," U.S. Office of Education, OED, Contract #300-77-0498.

Applied Management Sciences, Inc., "Study of the Impact of the Middle Income Student Assistance Act," U.S. Office of Education, OED, Contract #300-79-0437.

Washington Office of the College Board, "The State Student Incentive Grant Program, An Assessment of the Record and Options for the Future," by Janet S. Hansen. College Entrance Examination Board, New York, 1979. 36 pages.

Washington Office of the College Board, "Student Aid and Tuition in Washington State, A Case Study of Federal-State Interaction," by Seth P. Brunner and Lawrence E. Gladieux. College Entrance Examination Board, New York, 1979. 31 pages.

Congressional Budget Office, "Federal Student Assistance: Issues and Options." March 1980. 73 pages.

For further information about program operations,

Contact: Lanora G. Smith, 472-4265.

For further information about studies of program effectiveness,

Contact: Daniel Morrissey, 245-7884.

Table 1
History Since 1969-70 of State-Funded Need-Based Undergraduate Scholarship/Grant Programs

Year	# of States/ Territories	Number Recipients	Dollar Payout (Millions)	
			Total	SSIG Federal
1969-70	19	470,000	$199.9	-----
1970-71	21	535,200	236.3	-----
1971-72	23	604,000	268.6	-----
1972-73	29	661,700	315.5	-----
1973-74	31	733,300	364.2	-----
1974-75	37	813,100	440.8	$19.0
1975-76	48	901,900	510.2	20.0
1976-77	55	1,104,400	651.4	44.0
1977-78	56	1,161,400	737.0	60.0
1978-79	57	1,217,750	789.2	63.75
1979-80	57	1,278,429	864.5	76.75
1980-81	57	1,319,809 (est.)	912.0	76.75

Source: National Association of State Scholarship and Grant Programs, 12th Annual Survey, Pennsylvania Higher Education Assistance Agency, Harrisburge, Pa. 17102, November 1980.

Table 2

Ratio of Federal SSIG funds in State Grant Payout,
50 States and D. C., 1980-81 (Based on data from
NASSGP 12th Annual Survey and SSIG Program Records)

Number States, by SSIC % of Total State Grant Payout (Double % to include Match)	SSIG (Federal Only)		Total State Grant Payout	
	Funds (000)	% of Total	Amount (000)	% of Total
Up to 5% Federal - 6 States (N.Y. 2%, Pa. 4%. VT. 4% Ill. 5%; N.J. 5%, Minn. 5%)	$17,503	23%	$517,632	56%
6% to 19% Federal - 17 States Io. 6%, Ind. 7%, S.C. 7%, Wisc. 7%, R.I. 8%, Oh. 9%, Mich. 11%, Con. 14%, Cal. 14%, Or. 14%, Mass. 15%, Mo. 15%, Va. 15%, Col. 16%, Kans. 17%, W. Va. 18%, Ky. 18%	34,494	45%	308,548	34%
20% to 29% Federal - 6 States Tenn. 20%, Fla. 22%, Me. 23%, Tex. 23%, Md. 24%, Ark. 25%	10,350	13%	42,534	5%
30% to 49% Federal - 6 States N.D. 35%, Wash. 36%, Del. 36%, Ut. 37%, Ga. 38%, N.C. 45%	5,923	8%	28,602	3%
50% Federal Funds - 16 States Ala., Alas., Ariz., D.C., Haw., Ida., La., Miss., Mont., Nebr., Nev., N.H., N.M., Okla., S.D., Wyo.	7,342	10%	14,684	2%
Federal funds not matched by the 50% States, to be realloted to other States	1,138	1%	N/A	N/A
Totals (SSIG as % of total State Grant Payout is 8%)	76,750 (000)	100%	912,000 (000)	100%

March 1981

TABLE 3

SSIG AS PERCENT OF TOTAL STATE GRANT PAYOUT - - 1980-81* RANK ORDER (Low to High) - - THE FIFTY STATES AND DISTRICT OF COLUMBIA

STATE	% FEDERAL (SSIG) 1980-81
New York	✓2
Pennsylvania	✓4
Vermont	✓4
Illinois	✓5
New Jersey	✓5
Minnesota	✓5
Iowa	✓6
Indiana	✓7
South Carolina	✓7
Wisconsin	✓7
Rhode Island	✓8
All States	8
Ohio	✓9
Michigan	✓11
Connecticut	✓14
California	✓14
Oregon	✓14
Massachusetts	✓15
Missouri	✓15
Virginia	15
Colorado	16
Kansas	✓17
West Virginia	✓18
Kentucky	18
Tennessee	✓20
Florida	✓22
Maine	✓23
Texas	✓23
Maryland	✓24
Arkansas	25
North Dakota	✓35
Washington	✓36
Delaware	36
Utah	37
Georgia	38
North Carolina	45
Alabama	50
Alaska	50
Arizona	50
District of Columbia	50
Hawaii	50
Idaho	50
Louisiana	50
Mississippi	50
Montana	50
Nebraska	50
Nevada	50
New Hampshire	50
New Mexico	50
Oklahoma	50
South Dakota	50
Wyoming	50

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*Data from 12th Annual Survey of National Association of State Scholarship and Grant Programs, and SSIG Program Records.

✓ Mature programs ; made student grants before SSIG

TABLE 4

Distribution of Undergraduate Need-based State Grant Aid Assistance vs. Federal Grant Assistance by income (1979-80)

	Percentages of Dollar Awards		Undergraduate Financial Aid Applicants	Undergraduate Students (Enrolled at least Half-Time)
	State	Federal*		
Dependent with				
Family Income				
$ 0- 6,000	15	18	18	6
$ 6,000-12,000	15	17	16	8
$12,000-18,000	18	15	13	12
$18,000-24,000	16	10	10	14
$24,000-30,000	9	4	5	6
over $30,000	5	1	3	16
Independent	23	34	35	38
TOTAL	100	100	100	100

Source: Student Record Data from: "The Study of the Impact of the Middle Income Student Assistance Act"; Applied Management Sciences; Silver Spring, Maryland. Funded by the Office of Evaluation and Dissemination, USOE.

*Federal "need-based" grant assistance of Basic and supplemental Educational Opportunity Grants (BEOG and SEOG).

TABLE 5A: PROPORTION OF POSTSECONDARY UNDERGRADUATE STUDENTS ENROLLED AT LEAST HALF-TIME RECEIVING PARTICULAR FORMS OF FINANCIAL ASSISTANCE BY TOTAL FAMILY INOCME AND DEPENDENCY: ACADEMIC YEAR 1978-79

TOTAL FAMILY INCOME

Source of Financial Aid	DEPENDENTS							
	$ 0-5,999	$ 600-11,999	$12,000-17,999	$18,000-24,999	$25,000-29,999	$30,000+	INDEPENDENTS	TOTAL
BEOG	79	62	33	10	5	1	32	29
SEOG	21	16	11	4	2	0	10	9
NDSL	19	22	21	13	6	2	11	12
CWS	25	23	17	10	6	3	9	11
STATE	31	30	26	17	11	5	9	15

TABLE 5B: PROPORTION OF POSTSECONDARY UNDERGRADUATE STUDENTS ENROLLED AT LEAST HALF-TIME RECEIVING PARTICULAR FORMS OF FINANCIAL ASSISTANCE BY TYPE AND CONTROL OF INSTITUTION: ACADEMIC YEAR 1978-79

TYPE AND CONTROL OF INSTITUTION

Source of Financial Aid	PUBLIC		PRIVATE			
	4-year	2-year	4-year	2-year	Proprietary	Total
BEOG	29	26	27	28	53	29
SEOG	9	5	13	5	14	9
NDSL	13	23	4	7	20	12
CWS	10	22	8	16	2	11
STATE	16	27	7	12	10	15

SOURCE: "Study of Management Procedures in the Campus-Based and Basic Grant Programs;" Applied Management Sciences; Silver Spring, Maryland. Funded by the Office of Evaluation and Dissemination, USOE.

For further information about program operations,

Contact: Lanora G. Smith, 472-4265.

For further information about studies of program effectiveness,

Contact: Daniel Morrissey, 245-7884

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Guaranteed Student Loan Program

Legislation:

Title IV-B, Higher Education Act of 1965, enacted by Public Law 89-329, amended by Public Laws 89-698, 89-752, 89-794, 90-460, 90-575, 91-95, 92-318, 92-391, 93-269, 94-328, 94-482, 95-43, 95-561, 95-566, 96-49, and 96-374

Expiration Date:

September 30, 1985

Funding History:

Year	Loan Volume	Obligations [1]	Appropriation [1]
1966	$ 77,492,000[2]	$ -	$ 9,500,000[2]
1967	248,494,000[2]	15,632,000	43,000,000[2]
1968	435,849,000[2]	39,937,000	40,000,000[2]
1969	686,676,000	60,571,000	74,900,000
1970	839,666,000	118,387,000	73,226,000
1971	1,043,933,000	135,616,000	161,200,000
1972	1,301,577,000	228,708,000	209,365,000
1973	1,198,523,000	304,237,000	291,640,000
1974	982,000,000[3]	422,321,000	398,668,000
1975	1,208,000,000[3]	464,163,000	594,200,000
1976	1,735,000,000[3]	560,889,000	807,787,000
1977	1,470,000,000[3]	538,996,000	357,312,000
1978	1,648,000,000[3]	737,021,000	479,663,000
1979	2,250,000,000	788,023,000	945,030,000
1980	4,840,000,000	1,597,877,000	1,609,344,000
1981	7,300,000,000[4]	2,662,000,000[4]	2,581,000,000[4]
1982	9,479,000,000[4]	3,037,000,000[4]	2,753,000,000[4]

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[1] Includes: advances for reserve funds, expenditures for interest payments, special and administrative allowances, death and disability claims, bankruptcy claims and default claims. Costs for computer S&E items are not included except for Fiscal Years 1978 thru 1980 which include computer costs of $10.5 and $12.5 million respectively.

[2] Includes loans under the now repealed National Vocational Student Loan Insurance Act of 1965.

[3] Disbursed loan volume rather than commitments as for prior years.

[4] Administration estimates as of June 15, 1981.

Program Goals and Objectives

The objective of the program is to provide low-interest loans to students attending eligible institutions of higher education, subsidized, low cost low-interest vocational, technical, business and trade schools, and eligible foreign institutions. This program is designed to utilize loan capital supplied primarily by commercial lenders but also by some educational institutions and State and private agencies acting as direct lenders. These loans are guaranteed either by individual State or private nonprofit agencies (reinsured by the Federal government) or directly by the Department of Education. The objective of such guarantees is to provide long term, low-interest, deferred payment, noncollaterized loans to students and parents of dependent undergraduates. Access to loan capital is intended to facilitate access by students to postsecondary education and to a wider choice in the types of institutions. Guaranteed loans are an important supplement to other Department of Education programs of student financial aid, providing low-income students with an additional source of funds and providing many middle-and upper-income students with their primary source of Federal assistance.

Program Operations

The principal of the loan is provided by participating lending institutions such as commercial banks, savings and loan associations, credit unions, insurance companies, pension funds, State agencies, and eligible educational institutions. Repayment of loan is guaranteed by a State or private nonprofit agency or it is insured directly by the Education Department.

The following is a description of the program as it functioned in Fiscal Year 1981. A student is eligible if he or she is enrolled and making satisfactory academic year as determined by the institution, or accepted for enrollment at least half time at an eligible institution and is a United States citizen or is in the United States for other than a temporary purpose and intends to become a permanent resident. Annual student loan limits are $2,500 for undergraduate study to $5,000 for graduate study. The total of loans outstanding cannot exceed $12,500 for any undergraduates and $25,000 for any graduate and professional students, including undergraduate loans. All students were eligible for Federal interest benefits. The parents of dependent undergraduate students may borrow at at 9 percent interest with, repayment beginning within 60 days. Nine percent interest is charged to first-time borrowers and is paid by the Federal Government prior to the repayment period, which begins 6 months after leaving school, and during all deferment periods. Loans made to borrowers who have 7 percent loans outstanding will be charged 7 percent interest and repayment begins 9-12 months after leaving school. Deferment of repayment is provided when the student returns to full-time study at an eligible educational institution or enrolls in certain graduate fellowship programs. A deferment period of up to three years is also provided while the borrower is serving an active duty in the Armed Forces or the PHS Commissioned Corps, in the Peace Corps, or full-time volunteer programs conducted by ACTION, or during comparable comparable full-time voluneer service in a non-profit organization. Repayment is also deferred during a single period, not to exceed one year, during such time that the borrower is seeking but unable to find full-time employment, during required pre-professional internships (up to two years), and during periods of temporary total disability of the borrower or his spouse (up to three years).

A statutory formula provides for a Federal special allowance to be paid to lenders in order to promote an equitable return to holders of loans, and to give appropriate consideration to relative administrative costs and money market conditions. The quarterly special allowance is computed by determining the average of the bond equivalent rates of the ninety-one-day Treasury bills for the three month period, by subtracting 3.5 percent from this average, by rounding the resultant percent upward to the nearest one-eight of one percent, and by dividing the resultant percent by four (for 9 percent loans, rate is ninety-one-day Treasury bill rate minus 5.5 percent). Thus, for all student and parent loans parent loans lenders are assured, a total yield, variable each quarter, equal to the annual average Treasury bill rate plus 3.5 percent.

Program Scope

Of the cumulative dollar amount of committments insured through Fiscal Year 1980, 31 percent has been insured directly under the Federal Insured Student Loan Program (FISLP) and 69 percent under guarantee agencies. However, most most states now operate their own guarantee agencies and over 90 percent of new loan volume was insured under such programs in FY 1981. Loans are provided to students attending 3,581 eligible schools of higher education, 3,289 vocational, technical, business, and trade schools, and 856 foreign educational institutions.

In Fiscal Year 1981, an estimated 12,000 institutions were approved and making loans. These lenders made 236,000 federally insured loans as well as 2,078,000 guarantee agency insured loans, for a total of 2,314,000 loans committed. The total amount of loan committments was $4,840,000,000 in Fiscal Year 1980. The average loan committed was $2,091. Fiscal Year 1981 loan volume is established at over $7.3 billion, with an average student loan of $2,288.

Of the total Fiscal Year 1980 expenditures, $1.081 billion or 79 percent was for payment of interest and special allowance. Of total Fical Year 1981 expenditures (estimated at $2.581 billion).

Program Effectiveness and Progress

The CIRP (Cooperative Institutional Research Program) data for FY 1980 indicate that the percentage of all Freshmen participating in the Guaranteed Student Loan Program increased sharply to 24 percent from 15 percent in FY 1979. This increase is proportional to overall increases in GSL program volume between FY 1979 and FY 1980. Variation from this overall participation rate for Freshmen is related both to differences in family income and to differences in institutional costs. In Fiscal Year 1980, GSLP participation by income 1/ was from 17 percent for those in the $1-5,999 income category and 28 percent for those in the $25-39,999 category. Those in the highest income category, $40,000 and above, participated at somewhat less than the average rate of 21 percent. Borrower participation at generally more expensive private institutions was 34 percent and at less expensive public institutions, 21 percent. The highest borrower participation rate for any group was 39 percent for males at private, 4-year colleges. The lowest rate, 12 percent, was for females at 2-year public colleges. Overall, male participation rates at all types of institutions was 26 percent as contrasted with 22 percent for females.

The Middle Income Student Assistance Act (MISAA) became effective on November 1, 1978. Analysis of Fiscal Year 1979 and 1980 loans to Freshman after MISAA had become effective, and Fiscal Year 1978 loans to Freshman prior to the effects of MISAA, provides a measure of the changes in participation rates by income. The income category of $25,000 and above had been made newly eligible for interest subsidies as a result of MISAA. The following table sets out these changes:

	1978	1979	1980
Participation, $25,000 +	8.5%	17.5%	24.5%

The participation rate for the two lowest income categories showed a decrease over the three-year period.

Participation, $1-15,000	25.0%	21.5%	20.5%

This decrease over the three-year period, however, is almost entirely accounted for by the lowest ($1-5,999) income category for whom additional Pell funds had been made available.

The Cooperative Institutional Research Program (CIRP) survey of first-time full-time Freshman enrolled for the 1980-81 academic year showed that borrowers in the highest income category ($40,000+) represented 20.6 percent percent of all Freshman in that category. This represented an increase in participation from 11.8 percent the previous year, and, from 3.4 percent in FY 1978. (See attached table)

A study entitled, Sources of Loans for Students and Their Families for Postsecondary Education was completed in September, 1980 by the Higher Education Finance Reserach Institute of the University of Pennsylvania. The study examined trends in private, non-Federal education loan programs primarely in relation to the Guaranteed Student Loan Program and the National Direct Student Loan Program.

From 1973 thru 1979, the Guaranteed Student Loan dollar volume increased by 149 percent, a compound annual growth rate of 16.4 percent, well over twice the average annual rate of inflation for that period. During the same period, available loan funds in NDSL increased from $433 million to $710 million, for a compounded rate of 8.6 percent. Health professions loans and nursing loans decreased from $57 million to $42.1 million. Law enforcement loans increased by only 2.0% over the six-year period.

1/ Unweighted average across all family income categories.

GUARANTEED STUDENT LOANS BASED ON FALL 1980 CIRP FIRST-TIME, FULL-TIME DEPENDENT FRESHMEN

CELL ENTRIES ARE PERCENTAGE RECEIVING/AVERAGE RECEIVED

STUDENTS SEX	INSTITUTIONAL CONTROL	INSTITUTIONAL OFFERING	YEAR	FAMILY INCOME $1 TO $5,999	FAMILY INCOME $6,000-$14,999	FAMILY INCOME $15,000-$24,999	FAMILY INCOME $25,000-$39,999	FAMILY INCOME $40,000 AND UP	ALL INCOME GROUPS
TOTAL	OVERALL	UNIV	1980	18.6 $1,317	19.9 $1,337	24.8 $1,507	25.8 $1,707	20.8 $1,892	23.1 $1,644
TOTAL	OVERALL	4-YEAR	1978	12.1 $1,034	13.5 $1,191	15.8 $1,413	10.2 $1,532	3.6 $1,618	12.2 $1,351
TOTAL	OVERALL	4-YEAR	1979	10.6 $1,134	15.3 $1,177	20.4 $1,442	19.5 $1,661	13.7 $1,862	17.3 $1,486
TOTAL	OVERALL	4-YEAR	1980	14.1 $1,246	19.6 $1,325	25.5 $1,538	27.5 $1,694	21.8 $1,870	23.3 $1,588
TOTAL	OVERALL	2-YEAR	1978	11.1 $984	12.8 $1,174	14.4 $1,393	10.0 $1,601	2.7 $1,710	12.1 $1,326
TOTAL	OVERALL	2-YEAR	1979	8.0 $1,196	11.0 $1,127	15.2 $1,416	14.3 $1,614	7.2 $1,723	12.6 $1,397
TOTAL	OVERALL	2-YEAR	1980	12.2 $1,098	16.9 $1,286	23.2 $1,571	22.8 $1,636	16.8 $1,812	20.0 $1,522
TOTAL	OVERALL	OVERALL	1978	11.8 $1,018	13.4 $1,165	14.8 $1,392	9.7 $1,544	3.4 $1,613	11.7 $1,337
TOTAL	OVERALL	OVERALL	1979	9.6 $1,161	13.5 $1,165	17.8 $1,431	17.3 $1,642	11.8 $1,852	15.3 $1,473
TOTAL	OVERALL	OVERALL	1980	13.9 $1,210	18.7 $1,314	24.6 $1,542	25.8 $1,684	20.6 $1,871	22.3 $1,585

All non-Federal educational loan services (primarily parent loans) accounted for an estimated $421 million in 1973 and $691 million in 1978. This represents a rate of increase of 10.4 percent, compounded over the five-year period. The largest components of these non-Federal family loans were insurance policy loans, non-insured loans by colleges and universities, and commerical bank loans. Recently, however, direct State loan programs which serve student borrowers as lenders of last resort have become the largest and fastest-growing non-Federal component. In aggregate, non-Federal Postsecondary education loans amounted to only 27 percent of combined GSL/NDSL volume at the end of 1978 and that percentage was rapidly decreasing as GSL volume experienced large increases.

In general slower growth in private, non-insured student loan programs is attributable to inability to compete with heavily subsidized Federal programs, lack of knowledge about the availability of such programs, and relative lack of participation by larger pools of private capital such as pension funds and insurance companies.

A Study entitled Indebtedness to Finance Postsecondary Education was completed in July, 1981 by the Educational Policy Research Institute (EPRI) of the Educational Testing Service. The contractor developed an economic model for determining the reasonableness of accumulated education loan indebtedness relative to expected postschooling earnings profiles, household expenditures and the indebtedness necessary to establish professional practice. Using existing data, current indebtedness levels were estimated and future indebtedness levels simulated. The reasonableness of these indebtedness levels were evaluated in terms of projected earnings and expediture profiles. The model utilized actual cumulative debt burden from a sample of 1977 graduates and was used to calculate requried monthly loan payments as a percentage of net discretionary income. The model was also used to project hypothetical debt burdens based upon various combinations of future income patterns, total cumulative debt, length of repayment periods, and future interest rates on student loans.

Ongoing and Planned Evaluations

The following studies are continuing and scheduled for completion in Fiscal Year 1981:

(1) Parent Survey Component of High School and Beyond (Base Year Data Collection)

This survey will collect data from a nationally representative sample of 5,000 parents of high school seniors. It will last from October 1979 through September 1980 and cost $400,000. The high school seniors will have been surveyed a few months previously and it is expected that these same students and their parents will be surveyed again two years later. The parent questionnare is currently being designed and field tested (with Fiscal Year 1978 funds). The data collected by the parent parent survey will relate to parental knowledge about postsecondary schooling options (offerings, costs, and the availability of financial aid), parental plans and actions to finance their children's education, family demographic, social and financial characteristics.

(2) A new study to measure the impact of changes made in the program as a result of the Higher Education Amendments of 1980 will be conducted in the Fall of 1982. Relevant, in light of 1981 amendments.

Sources of Evaluation Data:

Higher Education Finance Research Institute (University of Pennsylvania), Philadelphia, PA, Sources of Loans for Students and their Families for Postsecondary Education, September 30, 1980.

Cooperative Institutional Research Project (CIRP), 1980 Report

Program files, Office of Postsecondary Education.

For further information about program operations,

Contact: David Bayer, 245-9717.

For further information about studies of program effectiveness,

Contact: Daniel Morrissey, 245-7884.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

National Direct Student Loan Program

Legislation: **Expiration Date:**

Title IV, Part E of the HEA 1965
Public Law 89-329, as amended.
PL. 94-482 and PL. 96-374 1/

October 1, 1985

Funding History:

Year	Authorization 2/	Appropriation 3/
1966	$179,300,000	$181,550,000
1967	190,000,000	192,000,000
1968	225,000,000	193,400,000
1969	210,000,000	193,400,000
1970	325,000,000	195,460,000
1971	375,000,000	243,000,000
1972	375,000,000	316,600,000 4/
1973	400,000,000	293,000,000 5/
1974	400,000,000	298,000,000
1975	400,000,000	329,440,000
1976	400,000,000	331,000,000
1977	400,000,000	323,220,000
1978	400,000,000	325,660,000
1979	400,000,000	328,900,000
1980	400,000,000	300,800,000
1981	400,000,000	200,800,000
1982	286,000,000	308,000,000

1/ Prior to FY 1973, the program was known as the National Defense Student Loan Program. Title II of NDEA of 1958 as amended (Public Law 85-864).

2/ Authorization for Federal capital contributions to loan funds only. In addition, a total of $25,000,000 was authorized for loans to institutions from Fiscal Year 1959 up to a maximum of $25 million.

3/ Appropriation includes contributions to loan funds, loans to institutions, and Federal payments to reimburse institutions for teacher/military cancellations.

4/ Actual Fiscal Year 1972 appropriation was $316,600,000. However, $23.6 million was mandated to be used during Fiscal Year 1973. The difference of $293.0 million was made available for use during Fiscal Year 1972, of which $286 million was for contribution to loan funds.

5/ Of this amount $269,400,000 was available for use in Fiscal Year 1973 and $23,600,000 was mandated for Fiscal Year 1974.

Program Goals and Objectives

The objective of the program is to allocate funds to postsecondary institutions for the purpose of making long-term, low-interest loans to students with financial need. Those loans are to provide lower-income students with an additional source of funds for access to postsecondary education and to help provide middle-income students with another source of funds with which they may choose a broader range of institutions. Such loans complement other forms of student financial assistance such as Pell Grants and Supplemental Educational Opportunity Grants, College Work-Study, and Guaranteed Student Loans.

Program Operations

Funding is initially allotted to States by means of an allotment formula and by regulation. Prior to FY 1979 funding levels for institutions within each State were recommended by regional review panels consisting of OE Program Officers from the regional and national offices and financial aid officers selected from institutions in that region. Recommended funding levels were generally in excess of the annual NDSL allotment for a State. In certain cases, the entire group of institutions within a State received less than 100 percent of their panel approved amount. However, each institution within that group received a pro-rated reduction in its allocation which, in percentage, was equal to that of every other institution in the State. Currently, each institution receives the larger of a "conditional guarantee" based on its program expenditures or its "fair share" determined by formula. Institutions often distribute NDSL's in conjunction with other forms of finanical aid and financial aid officers "package" these various aid components in different ways depending on available funds and student circumstances.

Students may borrow a total of: (a) $3,000 if they are enrolled in a vocational program or if they have completed less than two years of a program leading to a bachelor's degree; (b) $6,000 if they are undergraduate students and have already completed two years of study toward a bachelor's degree (this total includes any amount borrowed under the NDSL for the first two years of study); (c) $12,000 for graduate or professional study (this total includes any amount borrowed under the NDSL for undergraduate study). Upon leaving the institution, students sign a repayment schedule which specifies the duration and amount of repayment. After a six-month grace period following cessation of studies, the student begins repayment (on a monthly, bimonthly, or quarterly basis), normally over a ten-year period. The borrower's repayment period may be deferred not to exceed three years for service as a volunteer with VISTA, the Peace Corps, as a volunteer in a tax-exempt organization performing service comparable to VISTA or Peace Corps, for military service or for service as an officer in the Commissioned Corps of the U.S. Public Health Service. Repayment may also be deferred during a period not to exceed three years during which the borrower is temporarily totally disabled or is unable to secure employment because he or she is providing care required by a spouse who is so disabled. Two year deferments are granted to borrowers who are serving internships required to begin professional practice or service. A percentage of the total loan amount may be cancelled for individuals providing special services in specific teaching areas and for members of the

Armed Forces of the United States' serving in areas of hostility.

Program Scope

In Fiscal Year 1980, over 3,300 institutions participated in the program. The law provides limits on the aggregate amount which can be allocated to proprietary institutions. The total allocation of Fedeal Capital Contribution to such institutions may not exceed the difference between $190 million and the total appropriation. It is estimated that the average loan in Fiscal Year 1979 was $810 and that this average was maintained in Fiscal Year 1980. Estimated data for academic year 1979-80 show that $14.2 million in prior loans was cancelled under the Part E statutory provisions.

The new Federal Capital Contribution for Fiscal Year 1980 is $286 million. NDSL award expenditures are estimated to be $836 million in Fiscal Year 1980. The difference between expenditure levels and FCC represents the cash available for new loans from repayment of loans made to borrowers in previous years plus the institutional matching share for new FCC. This cash flow from prior repayments amounted to $518 million in FY 1980.

Of the total Fiscal Year 1980 NDSL expenditure of $710 million, $376.3 million, or 53 percent of total loan funds, will be utilized by public 4-year colleges and universities and $276.9 million, or 39 percent will be utilized by private 4-year institutions. Proprietary institutions are expected to utilize 8.0 percent of total available funds.

For Fiscal Year 1979, repayment cash flow was 2.9 times new Federal Capital Contributions. Repayment cash flow is expected to increase by approximately 10 percent annually for the next several years.

Program Effectiveness and Progress

The Middle-Income Student Assistance Act of 1978 (MISAA) generally made more student aid available to financial aid recipients with family incomes above $15,000. A 1980 study of the impact of MISAA an individual program recipients shows that there were only relatively minor effects on NDSL borrowers. The probability of a student receiving an NDSL increased from .17 to .18 for those in the $25-30,000 income range and from .03 to almost .06 for those with family incomes above $30,000 (Figure 1). On the other hand, there were decreases in the probabilities of those in the $6-25,000 range receiving NDSL's, possibly because of more BEOG and SEOG funds having been made available to students in this family income range. Among those who did receive NDSL awards, however, the average size of loans increased by 10 percent for those in the $6-12,000 income category and by 6 percent in the $12-18,000 group (Figure 2).

FIGURE 1

PROBABILITY OF NDSL AWARD PRIOR TO AND AFTER THE ENACTMENT OF MISAA BY INCOME LEVEL OF RECIPIENTS

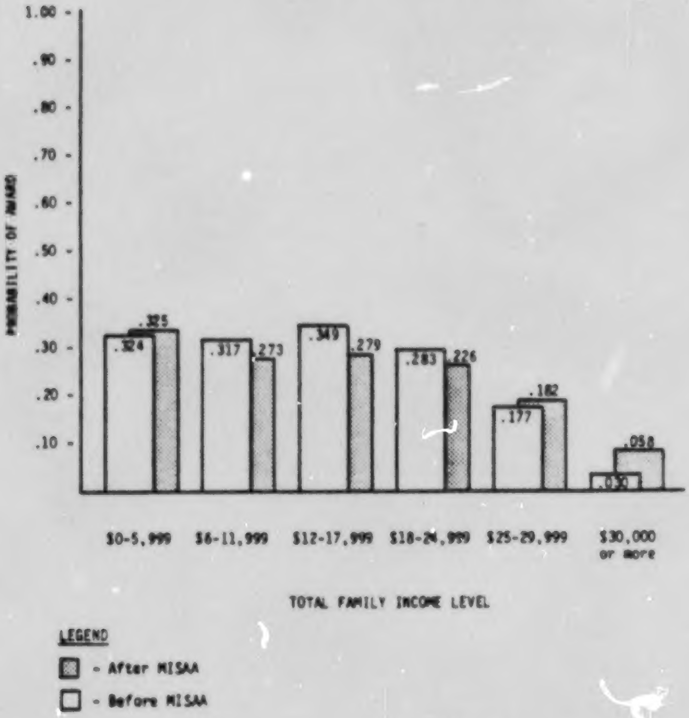
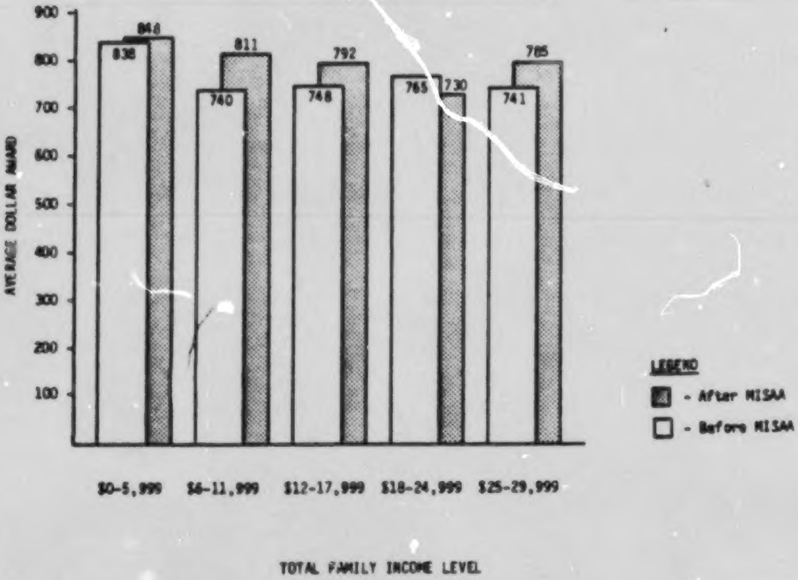


FIGURE 2

AVERAGE NDSL AWARD PRIOR TO AND AFTER THE ENACTMENT OF MISAA BY INCOME LEVEL OF RECIPIENTS



These data appear to confirm a trend already noticeable prior to passage of MISAA: NDSL's are available in increasing numbers to those with family incomes above $15,000, are less frequently needed for those with incomes under $15,000, and continue to be an important "packaging" component for that latter group attending lower-cost institutions.

Ongoing and Planned Evaluation Studies

A new study to measure the impact of changes made in the program as a result of the Higher Education Amendments of 1980 will be conducted in the Fall of 1982.

Sources of Evaluation Data

Applied Management Sciences, Inc., "Study of the Impact of the Middle Income Student Assistance Act," U.S. Office of Education, OED, Contract #300-79-0437.

Program files, Office of Postsecondary Education.

For further information about program operations,

Contract: Margaret Henry, 245-9720

For further information about program effectiveness,

Contract: Daniel Morrissey, 245-7884

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

College Work-Study Program

Legislation:

Public Law 88-452, 78 Stat. 515, as amended by Public Law 89-329 the Higher Education Act of 1965, Title IV-C; PL. 94-482; and P.L. 96-374

Expiration Date:

September 30, 1985

Funding History:	Year	Authorization	Appropriation 1/
	1965	2/	$ 55,710,000
	1966	$129,000,000	99,123,000
	1967	165,000,000	134,100,000
	1968	200,000,000	139,900,000
	1969	225,000,000	139,900,000
	1970	275,000,000	152,460,000
	1971	320,000,000	158,400,000 3/
	1972	330,000,000	426,600,000 4/
	1973	360,000,000	270,200,000
	1974	390,000,000	270,200,000
	1975	420,000,000	420,000,000
	1976	420,000,000	390,000,000
	1977	450,000,000	390,000,000
	1978	570,000,000	435,000,000
	1979	600,000,000	550,000,000
	1980	630,000,000	550,000,000
	1981	670,000,000	550,000,000
	1982	670,000,000	550,000,000 (est.)

1/ Up until Fiscal Year 1972, the CWS Fiscal Year appropriation was used to fund program operations during the calendar year. With Fiscal Year 1972, the program became one full year forward-funded.

2/ The Economic Opportunity Act of 1964 authorized a lump sum of $412,500,000 for three youth programs including College Work-Study.

3/ Actual funds available for CWS in this year amounted to $199,700,000, including reprogrammed funds.

4/ Includes $244,600,000 forward funding for Fiscal Year 1973, plus a supplemental of $25,600,000. A total of $237,400,000 was available for use during Fiscal Year 1972 from a combination of Fiscal Year 1971 and Fiscal Year 1972 appropriations.

Program Goals and Objectives:

The objective of the CWSP is to stimulate and promote the part-time employment of students who are in need for such earnings at eligible institutions.

Program Operations:

Under the legislation, employment partially financed by College Work-Study funds is made available in public or private non-profit organizations including the institution if it is non-profit, in which a student is enrolled.

Grants are made to higher education institutions for partial reimbursement of wages paid to students. Since August 1968, these Federal grants have covered up to 80 percent of student wages, with the remainder paid by the institution, with its own funds or contributions from the employer, or some other donor.

One percent of each year's appropriation is reserved for Guam, American Samoa, the Virgin Islands, and the Trust Territory of the Pacific Islands. A portion is also reserved for students from American Samoa/Trust Territories who attend eligible institutions of postsecondary education outside Samoa or the Trust Territory. The rest is allotted, by formula, among the 50 States, the District of Columbia, Northern Mariana Islands, and Puerto Rico, 53 areas. The formula is based on three factors:

(1) The number of full-time higher education students in each area relative to the total number of students for the 53 areas.

(2) The number of high school graduates in each area relative to the total number for the 53 areas.

(3) The number of related children under 18 years of age living in families with income of less than $3,000 in each area relative to the total number of related children under 18 in such families in in such families in the 53 areas.

Program Scope

During Academic Year 1979-80, 3,230 institutions of postsecondary education participated in the CWS program enabling approximately 796,000 students to find part-time employment. The average annual student earnings, including the institutional matching share, ranged from $700 in in private two-year institutions to $1,116 in proprietary institutions. About 18 percent of CWS funds help finance off-campus jobs held by 16 percent of the CWS job holders. Gross compensation earned by students was over one-half billion dollars.

Data from the fiscal operations report show that during Academic Year 1979-80 (see Table 1), CWSP funds were distributed to institutions as follows: Public universities, and other four-year institutions, 43 percent; public two-year, 17 percent; private universities, 35 percent; other four-year private; 31 percent; private two-year, 3 percent; and proprietary, 2 percent. About ninety percent of the funds went to undergraduates while the remainder was awarded to students at the post-baccalaureate level.

Table 1 displays the percentage of awards going to different groups of institutions in academic years 1978-79 and 1979-80. In general the various private institutions are getting a greater percentage of campus based funds and the public institutions a smaller percentage of funds in 1979-80 compared with the earlier year. In part, the changes in the distribution of funds among institutions is based upon a new system of allocating funds within the States which is more closely tied to the financial needs of students in each applicant's school.

Program Effectiveness and Progress:

The CWSP appears to be effective in stimulating the employment of students. The program is unquestionably popular with postsecondary institutions both as a student aid program and as a means of providing a a broad range of worthwhile job opportunities for qualified students. This pool is also welcomed by other participating non-profit institutions.

Schools have found it to their advantage to request as much CWS funding as they can since, for most institutions, CWS students provide needed services for institutions. Funds are used to support a wide variety of campus programs and activities. The limited number of CWS eligible employment opportunities at proprietary schools 1/ results in a low rate of participation in the CWS program.

Studies show that, in helping students finance their college expenses, CWSP awards are distributed quite evenly across the four lowest income categories of dependent students. Table 2 indicates that, in 1978-79 and in 1979-80, almost two-thirds of CWS awards were distributed to dependent students from families whose incomes are below $24,999. The average awards for these students, generally increase inversely to the income level of the student's family. It is also noted that eligible independent students on the average, earn considerably more during the academic year than their dependent counterparts. Another way of viewing it is that they appear to work almost a quarter more hours than their counterparts.

1/ Students receiving CWS monies cannot be employed with profit-making organizations.

Table 1

COMPARISON OF ALLOCATION 1979-80 and 1980-81

COLLEGE WORK-STUDY PROGRAMS

(dollars in thousands)

	Allocation 1978-1979 Award Year $$	Allocation 1979-1980 Award Year $$	Allocation 1980-1981 Award Year $$	% inc/ decr 78-79 79-80	% inc/ decr 79-80 80-81	Per cent of Total 78-79	Per cent of Total 79-80	80-81
U.S. TOTAL	438,000	547,023	547,722	26.1	0.1	100	100	100
STATE TOTAL								
PUB 4-YR	200,406	235,730	232,997	17.6	-1.2	46.2	43.1	42.5
PUB 2-YR	82,418	93,190	90,642	18.1	-2.7	19.0	17.0	16.5
PRI 4-YR	132.864	194,344	198,328	46.3	2.10	30.6	35.5	36.2
PRI 2-YR	10,454	15,178	15,184	45.2	-	2.4	2.8	2.8
PROP	7,658	8,580	10,571	12.0	23.2	1.8	1.6	2.0

Source: Office of Student Financial Aid, ED

TABLE 2

DISTRIBUTION OF PARTICIPANTS IN FEDERAL COLLEGE WORK STUDY PROGRAMS BY STUDENT INCOME LEVEL 1978-79 and 1979-80*

	PERCENTAGE OF TOTAL RECIPIENTS		PERCENTAGE OF TOTAL AWARDS		Average/ RECIPIENT	
STUDENT TYPE	1978-79	1979-80	1978-79	1979-80	1978-79	1979-80
STUDENTS						
DEPENDENTS						
$0 - $5,999	16.3	11.2	16.3	11.0	848	965
$6,000 - $11,999	18.0	18.4	17.5	17.3	822	925
$12,000 - $17,999	16.9	16.7	15.6	14.7	780	869
$18,000 - $24,999	13.2	15.2	12.3	11.9	791	770
$25,000 - $29,999	3.8	6.2	2.9	4.5	652	716
$30,000 - or more	1.9	4.9	1.6	4.0	696	802
INDEPENDENTS	22.7	24.6	27.3	33.6	1018	1342
UNKNOWN**	7.2	2.7	6.5	3.0		
TOTAL	100.0	100.0	100.0	100.0		

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*Averages for the program are based only upon the students who received the particular form of Federal financial assistance. Unduplicated averages are based upon all students who received one or more of the four Federal aid sources.

**Students of unknown dependency status and/or income level.

SOURCE: Applied Management Sciences, Study of the Impact of the Middle Income Student Assistance Act (MISAA), Silver Spring, MD, March 1980.

With the advent of the Middle Income Student Assistance Act, CWSP participants from families with incomes in excess of $25,000 increased from about 4.5% of the total to 8.5% (Table 2). However, of all the Federal campus-based programs, MISAA appears to have had the smallest effect on the distribution of CWSP participants since a predominant share of the increase in participation may be due to shifts of the family income group as a result of adjustments in wages due to inflation.

The Middle Income Student Assistance Act of 1978 (MISAA) generally made more student aid available to financial aid recipients with family incomes above $15,000. A 1980 study of the impact of MISAA on aid recipients of individual programs shows that there were relatively significant effects upon College Work-Study recipients. Although the pre-and postMISAA effects were uneven across family income categories, those with incomes above $18,000 had a much higher probability of receiving a CWS award (Figure 1). For example, those in the $25-30,000 category increased their probability of a CWS award from .20 to .27 while those with more than $30,000 of family income exactly doubled their probability of CWS from .066 to .132.

The average amount of Work-Study awards was significantly higher for almost all income categories (Figure 2). At lower income levels these average awards increased by 12% for those with incomes of $0-6000, by 11% for the $6-12,000 group, and by 13% for those having family incomes between $12,000 and $18,000. These data show that CWS funds were more broadly distributed and available in larger amounts after passage of MISAA.

Ongoing and Planned Evaluation Studies

A new study to measure the impact of changes made in the program as a result of the Higher Education Amendments of 1980 will be conducted in the Fall of 1982.

Sources of Evaluation Data

Applied Management Sciences; The Impact of the Middle Income Student Assistance Act (MISAA) Silver Spring, Maryland, Contract #OE-300-79-0437, March 1980.

Program files, Office of Postsecondary Education.

For further informaton about program operations,

Contact: Robert Coates, 472-2840.

For further information about studies of program effectiveness,

Contact: Daniel Morrissey, 245-7884.

FIGURE 1

PROBABILITY OF CWS AWARD PRIOR TO AND AFTER THE ENACTMENT OF MISAA BY INCOME LEVEL OF RECIPIENTS

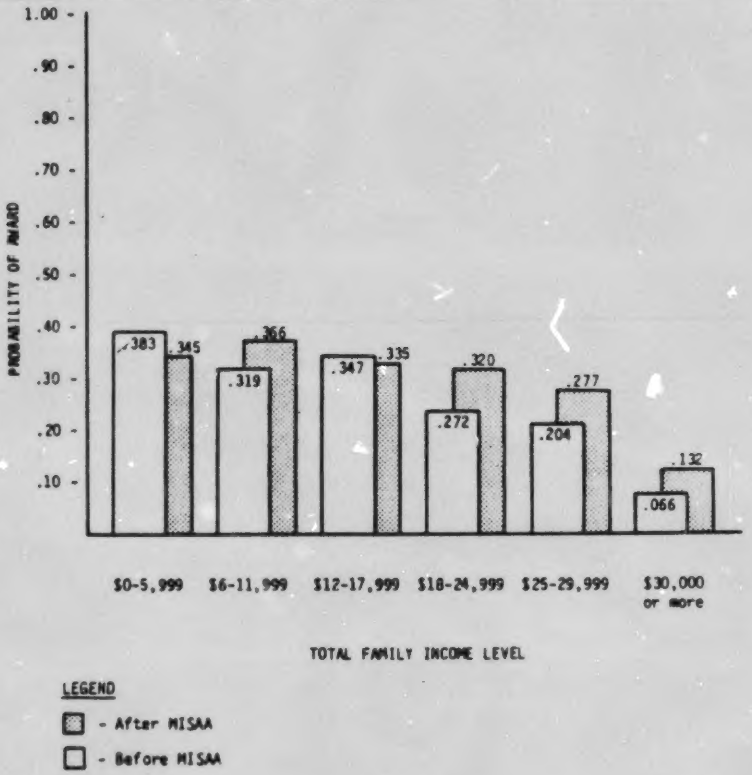
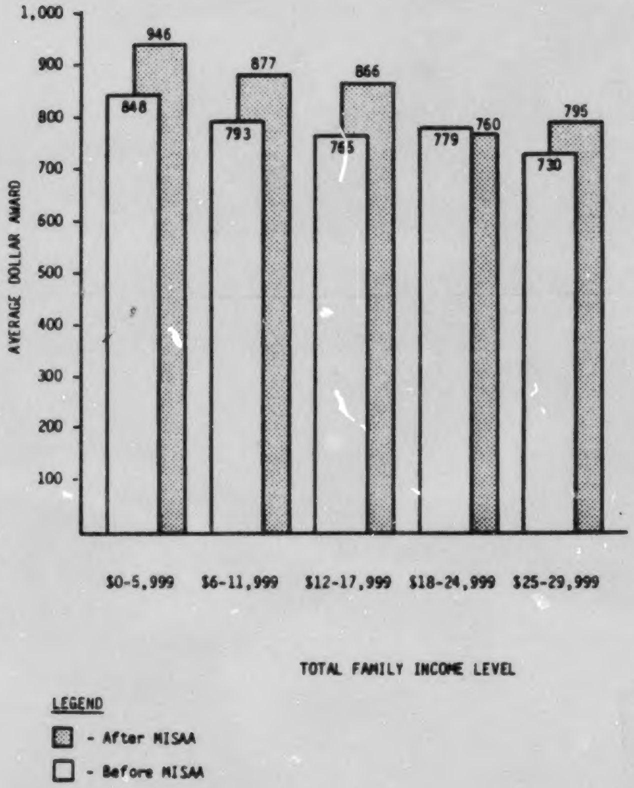


FIGURE 2

AVERAGE CWS AWARD PRIOR TO AND AFTER THE ENACTMENT OF MISAA BY INCOME LEVEL OF RECIPIENTS



ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Upward Bound Program

Legislation:	**Expiration Date:**
Higher Education Act of 1965. Title IV-A Subpart 4; Public Law 89-329; as amended by Public Law 90-575; Public Law 91-230; Public Law 92-318; Public Law 94-482; Public Law 96-374.	September 30, 1985

Funding History:

Year	Authorization	Appropriation
1965	1/	1/
1966	1/	1/
1967	1/	1/
1968	1/	1/
1969	1/	1/
1970	$ 56,680,000 2/	$29,600,000
1971	96,000,000 2/	30,000,000
1972	96,000,000 2/	31,000,000 3/
1973	100,000,000 2/	38,331,000
1974	100,000,000 2/	38,331,000
1975	100,000,000 2/	38,331,000
1976	100,000,000 2/	38,331,000
1977	200,000,000 2/	41,500,000
1978	200,000,000 2/	50,034,000
1979	200,000,000 2/	61,000,000
1980	200,000,000 2/	62,500,000
1981	200,000,000 2/	66,500,000
1982	165,000,000 2/	66,500,000 (est.)

1/ There were no specific authorizations or appropriations for Upward Bound during these years. This was an OEO agency allocation made from the total appropriations for Title II-A of the Economic Opportunity Act of 1964.

2/ Represents budget authority for all Special Programs for Disadvantaged Students: Special Services, Upward Bound, Talent Search, Educational Opportunity Centers, Service Learning Centers (up to FY 1982), and the Training Program.

3/ Excludes $4 million supplemental appropriation for Veterans' projects.

Program Goals and Objectives

The Upward Bound Program is intended for youths from low-income families who have academic potential, but who may lack adequate secondary school preparation, including those students whose inadequate secondary school preparation is a result of severe rural isolation. 4/ Without the intervention of the program, these students would not have considered college or other postsecondary education, nor would they have been likely to have gained admission to or successfully completed college or other postsecondary education. The program is designed to generate skills and motivation necessary for success in education beyond high school. The goal of the program, as stated in the regulations, is to increase the academic performance and motivational levels of eligible enrollees so that such persons may complete secondary school and successfully pursue postsecondary education programs.

The General Accounting Office (1974) study of Upward Bound found a lack of measurable objectives that clearly stated the expected end results of the program for student performance. GAO observed that local project objectives were usually vague and did not express in a measurable way changes expected in students' academic skills and motivation.

Program Operations

Upward Bound looks for the individual with academic potential (a demonstrated aptitude) for postsecondary education, but whose inadequate high school preparation prevents meeting conventional requirements for admission to a college, university, or technical institute. The program is designed to generate skills by means of remedial instruction, altered curriculum, tutoring, cultural exposure, and motivation through encouragement and counseling. In a typical year an Upward Bound student is a resident on a college, university, or secondary school campus for a six-to-eight week summer session. In the academic year he may attend Saturday classes or tutorial/counseling sessions or participate in cultural enrichment activities. During his junior and senior years he explores options for the postsecondary program best suited to his needs.

Upward Bound is a project grant program which works primarily through institutions of higher education to provide educational services to disadvantaged youth. The program is administered through the ED central office. As one of the "TRIO" programs, 45 ED staff manage this program, along with five other programs in the Division of Student Services. The program is forward funded and no matching grants are required of grantees.

4/ Public Law 96-374 substantially changed the characteristics of eligible youths. Not less than two-thirds of the individuals participating in a project must be low-income individuals who are also potentially first generation college students and the remaining participants must be either low-income individuals or potentially first generation college students. The description presented reflected Upward Bound in Academic Year 1980-81.

Program Scope

In Program Year 1979-80, 412 Upward Bound projects were funded (40 Veterans projects are included in these figures). The grants to projects average $142,776. Preliminary estimates indicate nearly 36,000 students were served by the program. Of these students, 47 percent were males and 53 percent were females. Fifty-seven percent of the clients were black, 14 percent were Hispanic, and 24 percent were white. While detailed client grade distributions are not yet available, the previous year's data (Program Year 1978-79) show that about 36 percent of the clients were in the twelfth grade of high school, 29 percent in the eleventh grade, 22 in the tenth grade, and the remaining 13 percent were in lower grades or were dropouts.

For FY 1980, 559 applications reflecting a demand of $107,202,000 were processed. From these proposals, 437 grant awards were made for the first year of a three-year funding period. Of the 437 projects, 69 were hosted by two-year/junior colleges, 345 by four-year colleges, 4 by vocational/technical schools, 5 by secondary schools, and 14 by agencies. Average cost per project was $143,020, or $1,680 per student, for the 37,210 participants.

In FY 1981, the program will serve an estimated 446 projects at an average cost of about $149,100, or $1,765 for the 37,680 student participants.

Program Effectiveness and Progress

A recent evaluation of Upward Bound provided the most comprehensive and scientifically accurate statistics about the program. These statistics were based on a national sample of more than 3,400 Upward Bound students in the tenth, eleventh, and twelfth grades and a comparison group of about 2,000 similar students who did not participate in the program.

The following evaluation findings document the impact of the Upward Bound Program:

- Participation in Upward Bound (UB) failed to increase the rate of high school completion, given tenth grade entry, beyond the 96 percent rate for all students.
- Upward Bound has a large positive influence on postsecondary entrance. About 91% of the typical UB participants entered some type of postsecondary education while about 70% of comparable nonparticipants entered.
- Upward Bound influences the types of institutions entered and the types of individuals who enter. Of the students that entered postsecondary education, about 73% of typical UB participants attended a four-year college or university. The comparable rate for nonparticipants was 50%. Indeed, 22% of the nonparticipants attended a vocational technical school in comparison to 9% of typical UB participants.

- Upward Bound has impact on participants' financial aid. Typical Upward Bound participants more frequently received Basic Educational Opportunity Grants (79 percent vs. 59 percent), Supplemental Educational Opportunity Grants (20 percent vs. 8 percent), National Direct Student Loans (27 percent vs. 10 percent) and College Work-Study while taking courses (29 percent vs. 16 percent). Overall, typical Upward Bound participants received an average of $1,428 in grants and $393 in loans as compared with $389 in grants and $300 in loans for nonparticipants.

- Upward Bound has an impact on participants' usage of supportive services. Typical participants used available tutoring and counseling services more frequently than nonparticipants.

- Overall, UB had a large positive effect on student persistence. Summed over all types of schools, typical UB participants maintain their enrollment for one or more terms than comparable nonparticipants. Controlling for the type of school attended, UB participants persist slightly longer (i.e. one-fifth of a term) than comparable nonparticipants.

- Summed over all types of schools, typical UB participants earned more credits than comparable nonparticipants. However, after controlling for the type of school attended, typical UB participants earned slightly fewer credits than comparable nonparticipants.

- The grades earned at postsecondary institutions by UB participants were roughly the same, or slightly lower, than those earned by comparable nonparticipants. At four-year colleges and universities, average UB participants and comparable nonparticipants earned grade point averages of about 2.0 (equivalent to a letter grade of C).

Ongoing and Planned Evaluations

None

Sources of Evaluation Data:

General Accounting Office, Problems of the Upward Bound Program in Preparing Disadvantaged Students for a Postsecondary Education, March 7, 1974, Washington, D.C.

Program files, Office of Postsecondary Education.

Estimates of the Target Populations for Upward Bound and the Talent Search Programs, Volume II of A Study of the National Upward Bound and Talent Search Programs, Research Triangle Institute, Research Triangle Park, North Carolina, 1975.

Evaluation Study of the Upward Bound Program, Volume IV of A Study of the National Upward Bound and Talent Search Programs, Research Triangle Institute, Research Triangle Park, North Carolina, 1976.

Evaluation Study of the Upward Bound Program: A First Follow-Up, Research Triangle Institute, Research Triangle Park, North Carolina,

Evaluation Study of the Upward Bound Program: A Second Follow-Up, Research Triangle Institute, Research Triangle Park, North Carolina 1979.

For further information about program operations,

Contact: Richard T. Sonnergren, 426-8960.

For further information about studies of program effectiveness,

Contact: Robert H. Berls, 245-7884.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Talent Search Program

Legislation:

Higher Education Act of 1965. Title IV-A, Subpart 4; Public Law 89-329; as amended by Public Law 90-575; Public Law 91-230; Public Law 92-318; Public Law 94-482; Public Law 96-374.

Expiration Date:

September 30, 1985

Funding History:	Year	Authorization	Appropriation
	1966	1/	$ 2,000,000
	1967	1/	2,500,000
	1968	1/	4,000,000
	1969	$ 10,000,000	4,000,000
	1970	56,680,000 2/	5,000,000
	1971	96,000,000 2/	5,000,000
	1972	96,000,000 2/	5,000,000
	1973	100,000,000 2/	6,000,000
	1974	100,000,000 2/	6,000,000
	1975	100,000,000 2/	6,000,000
	1976	100,000,000 2/	6,000,000
	1977	200,000,000 2/	8,900,000
	1978	200,000,000 2/	12,454,000
	1979	200,000,000 2/	15,300,000
	1980	200,000,000 2/	15,300,000
	1981	200,000,000 2/	17,100,000
	1982	165,000,000 2/	17,100,000 (est.)

Program Goals and Objectives

Talent Search projects are designed to identify qualified youths, 3/ including qualified youths residing in areas of severe rural isolation, of financial or cultural need with an exceptional potential for postsecondary educational training and especially such youths who have delayed pursuing

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1/ Such sums as may be necessary.

2/ Represents budget authority for all Special Programs for Disadvantaged Students: Special Services, Upward Bound, Talent Search, Educational Opportunity Centers, Service Learning Center (up to FY 1982), and the Training Program.

3/ Public Law 96-374 substantially changed the characteristics of eligible youths. Not less than two-thirds of the individuals participating in a project must be low-income individuals who are potential first generation college students. The description presented reflected Talent Search in Academic Year 1980-81.

postsecondary educational training, and to encourage them to complete secondary school and undertake postsecondary educational training. The program also publicizes student financial aid programs and encourages secondary-school or college dropouts of demonstrated aptitude to reenter educational programs. The goal of this program is to (1) increase the rate at which youths of financial or cultural need complete secondary educational programs, (2) decrease the rate of secondary and postsecondary school dropouts, (3) increase the number of secondary and postsecondary school dropouts who reenter educational programs, and (4) increase the postsecondary enrollment rate of youths who have delayed pursuing postsecondary educational training.

The authorizing legislation for the Talent Search Program allows youths from other than low-income families, not to exceed one-third of the total served, to benefit from the projects.

Program Operations:

Talent Search is a project grant program which works through institutions of higher education, public and private agencies and organizations to provide services to disadvantaged youth in secondary schools or who are dropouts. The program is managed through the ED central office. As one of the "TRIO" programs, 45 ED staff manage this program along with the five other programs that make up the Division of Student Services. Awards are made competitively. The program is forward-funded and no matching grants are required of grantees.

The local projects operate a recruiting effort to identify youths who need the program's services and counsel them about opportunities for furthering their education.

A study of the program showed that all project directors expressed a fundamental philosophic concern with educational opportunities for the minorities and the educationally disadvantaged. Their stated project objectives were two-fold. First, they focused on improving the client group's educational and vocational status and self-perception, and second, on increasing school and community awareness of the client group's needs. Given this common base, all projects provided services intended to encourage clients to aspire to postsecondary education.

The number and kinds of services provided clients varied considerably across projects classified by size, ethnicity and location of majority of clients, type of host institution, age, and ED region location. However, all projects generally encouraged the completion of high school and the attainment of a postsecondary education; provided information on educational opportunities and financial assistance; and assisted in the mechanics of applying for admission and financial aid. To a more limited extent, projects provided follow-up activities and assistance to insure that clients actually: enrolled in postsecondary institutions; reached the campus and began their studies; and became adjusted and oriented to the campus.

In receiving these services, about one-sixth of the clients had had only one contact with Talent Search, about one-half had had two to five contacts, and about one-third had had six or more contacts.

Program Scope

During academic year 1979-80, 153 projects were funded. The grants ranged from $43,789 to $240,640 and averaged $100,386 with a cost per client of $81. The projects reported serving 189,303 clients with about 42 percent blacks, 27 percent white, and 31 percent of other ethnicity, such as Native Americans or Mexican-Americans. Approximately 56 percent of these clients were female and 44 percent were males. About 71 percent were from families with low incomes and approximately 29 percent were eligible due to cultural need.

For 1980, 278 applications, reflecting a demand of $38,653,484, were processed. From these applications, 158 grant awards were made for the first year of a two-year funding period. Of the 158 projects, 25 were hosted by two-year/junior colleges, 70 by four-year colleges, 3 by vocational/technical schools, and 60 by agencies. The average cost per grant was $96,835 and an average cost per student of $76 for the 202,030 students served in FY 1980 (school year 1980-81). In FY 1981, an expected 170 projects will be assisted at an average cost each of about $100,590, or $86 per student, for the expected 198,837 participants.

Program Effectiveness and Progress:

In the 1979-80 academic year, 189,303 clients were placed in postsecondary education with an additional 43,471 accepted, but not yet enrolled. Approximately 8,831 actual or potential dropouts were persuaded to return to school or college.

The 1975 evaluation of the Talent Search Program shows that, given the fuzzy definition of the target population and the lack of measurable objectives, virtually any person requesting assistance was served--most of whom were determined to be eligible by virtue of low income and related criteria.

The study assessed project files to determine their adequacy. The content and organization of the client record files varied considerably across projects. Files in certain projects were comprehensive and complete and data were collected and filed in an organized manner, whereas the files in other projects contained little information, often collected and filed in a haphazard fashion. Most files generally contained such basic descriptive data as the client's age, sex, ethnicity, and grade level. However, data critical to determining a client's eligibility for the program, his application for and attainment of financial aid or postsecondary admission, his strengths and weaknesses, and his achievement of other Talent Search objectives were often incomplete or missing.

The limited degree to which these kinds of information were recorded in the client files, and survey findings of the postsecondary status of former clients, made it difficult to assess the effectiveness of Talent Search counseling services and follow-up activities. Approximately three-fourths of the students reported by the projects to have enrolled in postsecondary institutions between July 1 and December 31, 1973, had actually enrolled. And about three-fourths of these verified enrollees were still enrolled in the spring of 1974. (Most of those who were not enrolled in the spring had dropped out of their own choice.)

The study of the Talent Search program was descriptive, including a survey of college registrars to validate the postsecondary enrollment of former Talent Search clients. Since it was a descriptive study, without a nonparticipating group of youths similar to those served by the program but who did not have access to the program's services, an assessment of the program's impact on high school retention and college entrance cannot be done. Consequently, it cannot be asserted, based on the study, that the program does or does not place students in college who would not have enrolled without the program's services.

In those cases where improvement in program operations can be made on the basis of the study, they have been included in revised program regulations.

Sources of Evaluation Data

Descriptive Study of the Talent Search Program, Volume III of A Study of the National Upward Bound and Talent Search Programs, Research Triangle Institute, Research Triangle Park, North Carolina, December 1975.

Estimates of the Target Populations for Upward Bound and the Talent Search Programs, Volume II of A Study of the National Upward Bound and Talent Search Programs, Research Triangle Institute, Research Triangle Park, North Carolina, May 1975.

Program Files, Office of Postsecondary Education.

For further information about program operations,

Contact: Richard T. Sonnergren, 426-8960.

For further information about studies of program effectiveness,

Contact: Robert H. Berls, 245-7884.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Educational Opportunity Centers

Legislation:

Higher Education Act of 1965. Title IV-A, Subpart 4; as amended by Public Law 92-318; as amended by Public Law 94-482; Public Law 96-374.

Expiration Date:

September 30, 1985

Funding History:	Year	Authorization 1/	Appropriation
	1974	$100,000,000	$3,000,000
	1975	100,000,000	3,000,000
	1976	100,000,000	3,000,000
	1977	200,000,000	4,000,000
	1978	200,000,000	5,246,000
	1979	200,000,000	6,300,000
	1980	200,000,000	7,700,000
	1981	200,000,000	8,000,000
	1982	165,000,000	8,000,000 (est.)

Program Goals and Objectives:

This program is intended to serve areas with major concentration of low-income populations by providing, in coordination with other applicable programs and services:

> information with respect to financial and academic assistance available for persons residing in such areas desiring to pursue a program of postsecondary education;
>
> assistance to such persons in applying for admission to institutions, at which a program of postsecondary education is offered, including preparing necessary applications for use by admission and financial aid officers; and
>
> counseling services and tutorial and other necessary assistance to such persons while attending such institutions.

The centers also are to serve as recruiting and counseling pools to coordinate resources and staff efforts of institutions of higher education and of other institutions offering programs of postsecondary education, in admitting educationally disadvantaged persons.

1/ Represents budget authority for all Special Programs for Disadvantaged Students: Special Services, Upward Bound, Talent Search, Educational Opportunity Centers, Service Learning Centers (up to FY 1982), and the Training Program.

While the legislated goals of the Talent Search, Upward Bound and Special Services programs are aimed at individuals in need of project services, the Educational Opportunity Centers are designed to serve residents of major areas with a high concentration of low-income populations. 2/ Consequently, any resident of a funded area is eligible to receive project services. This broad mandate, without the restrictions of age, income, and disadvantaged cultural or educational backgrounds characteristic of the other Special Programs, offers more latitude to the project to deal with the educational needs of a geographic area.

Program Operations:

The Department of Education's central office awards Educational Opportunity Center Program grants on a cost-sharing basis paying up to 75 percent of the cost of establishing and operating a center, to approved postsecondary institutions, and public and private agencies and organizations. Awards, which are forward-funded, are made competitively. As one of the "TRIO" programs, 45 ED staff manage this program along with the five other programs which make up the Division of Student Services.

The Centers operate a recruiting effort to identify persons who need the program's services and to counsel them about opportunities for furthering their education. The Centers also provide remedial and tutorial services to students enrolled or accepted for enrollment in postsecondary schools.

Program Scope:

In FY 1979, 32 funded projects provided various forms of counseling and assistance to 108,217 participants. The grants ranged from $106,178 to $409,712 and averaged $236,190. The average cost-per-participant was $71.

I. Total participants by ethnicity.

American Indian	3,741	3%
Black	40,444	37%
Hispanic	22,207	21%
Other/Not Reported	38,572	36%
TOTAL	3,253	3%
	108,217	100%

II. Total participants by sex.

Male	46,048	43%
Female	62,169	57%
TOTAL	108,217	100%

2/ Public Law 96-374 focused the Educational Opportunity Program on adults (at least nineteen years of age). Not less than two thirds of the individuals participating in a project must be low-income and potentially first generation college students. The description presented reflected the program in Academic Year 1980-81.

III. Total participants by age.

Under 18	27,550	26%
18 - 24	48,897	45%
25 and over	31,770	29%
TOTAL	108,217	100%

For FY 1981, the $8,000,000 appropriation will service 32 projects and 106,670 students at an average cost per project of $250,000 and $75 per student.

Program Effectiveness and Progress:

An evaluation has not been conducted. Program data for FY 1979 show that 32,796 participants were placed in postsecondary schools or other types of training programs, and 8,517 participants had been accepted by a postsecondary institution but had not yet begun their studies.

Ongoing and Planned Evaluations:

None

Sources of Evaluation Data:

Program Files, Office of Postsecondary Education.

For further information about program operations,

Contact: Richard T. Sonnergren, 426-8960.

For further information about studies of program effectiveness,

Contact: Robert H. Berls, 245-7884.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Special Services for Disadvantaged Students

Legislation:

Higher Education act of 1965, Title IV-A Subpart 4; Public Law 89-329; as amended by Public Law 90-575; Public Law 91-230; Public Law 92-318; Public Law 93-380; Public Law 94-482; Public Law 96-374.

Expiration Date:

September 30, 1985

Funding History:

Year	Authorization 1/	Appropriation
1970	$ 56,680,000	$10,000,000
1971	96,000,000	15,000,000
1972	96,000,000	15,000,000
1973	100,000,000	23,000,000
1974	100,000,000	23,000,000
1975	100,000,000	23,000,000
1976	100,000,000	23,000,000
1977	200,000,000	30,637,000
1978	200,000,000	45,265,000
1979	200,000,000	55,000,000
1980	200,000,000	60,000,000
1981	200,000,000	63,900,000
1982	165,000,000	63,900,000 (est.)

Program Goals and Objectives

The Special Services program is designed to provide remedial and other special services for youths 2/ from low-income families with academic potential, but who may be disadvantaged because of severe rural isolation who (1) are enrolled or accepted for enrollment at an institution of higher education which is a beneficiary of a grant or contract and (2) by reason of deprived educational, cultural, or economic background, physical handicap, or limited English-speaking ability, are in need of such services to assist them to initiate, continue, or resume their postsecondary education. The goal of this program is to increase the retention and graduation rates of such students.

1/ Represents budget authority for all Special Programs for Disadvantaged Students: Special Services, Upward Bound, Talent Search, Educational Opportunity Centers, Service Learning Centers (up to FY 1982), and the Training Program.

2/ Public Law 96-374 substantially changed the characteristics of eligible participants. Not less than two-thirds of the individuals participating in a project must be physically handicapped or low-income individuals who are first generation college students. The remaining participants must be physically handicapped, low-income, or first-generation college students. The description presented reflected the Special Services program in Academic Year 1980-81.

Program Operations

Special Services is a project grant program making awards to institutions of higher education to provide remedial or bilingual educational teaching, guidance, and/or counseling services for students with an educationally, culturally, or economically deprived background, or with a physical handicap or limited English-speaking ability. The program is forward-funded and no matching funds are required by the grantee institutions. The program is administered through the ED central office. As one of the "TRIO" programs, 45 ED staff manage this along with the five other programs that make up the Division of Student Services. Awards are made competitively.

At the institution level, a Special Services program is defined as a separately budgeted formal or structured body of activity by the institutions for enrolled students, which is not routinely available to or appropriate for the typical entering student, but is directed toward the more disadvantaged students. Recipients of grants from this program who serve students of limited English-speaking ability must include in their curriculum a program of English language instruction for such students.

Program Scope

In FY 1979, 557 projects were funded. The grants ranged from $35,911 to $307,488 and averaged $99,437. The average cost per student was $320. The projects reported serving 173,086 students. Approximately 40 percent of the clients was black, about 38 percent were white, and about 15 percent were Hispanic. Approximately 57 percent of the clients were female and 43 percent were males. Approximately 8 percent of the clients were culturally disadvantaged, 41 percent were educationally disadvantaged, 6 percent were physically disabled, and 5 percent were of limited English-speaking ability, and the remaining 40 percent of the clients were eligible based on the low-income criteria.

For FY 1980, 790 applications, reflecting a demand of $114,015,064 were processed. From these applications, 595 grant awards were made for the first year of a four-year funding period. Of the 595 projects, 205 were hosted by two-year/junior colleges, 376 by four-year colleges, 7 by vocational/technical schools, and 7 by agencies.

Average project cost in FY 1981 is expected to be about $104,250, or $407 per student, for the projected 157,235 students to be served at 613 projects.

Program Effectiveness and Progress

Program records show that in FY 1979 (Program Year 1979-80), 173,086 students participated in the Special Services program. Of this number, 21,435 students showed adequate academic and personal adjustment and moved out of the program into the regular academic channels of the host institutions; 8,963 graduated from the host institutions, and 4,156 left the host institutions to transfer to other colleges.

A 1975 study of postsecondary programs for disadvantaged students (both Federally or non-Federally supported) revealed that being disadvantaged is much more than a financially determined phenomenon. There are greater differences among students of different ethnic classification within the low-income group than there are between poverty-level and modal (typical) students within the same ethnic classification. Differences between physically handicapped students and modal students are relatively minor--except for the physical disability. Between the poverty-level and modal students, the study did not find substantial differences by major field of study, content of freshman courses taken, or relative difficulty with such courses. Most students in the study were in their first or second year, and differences in these areas may show up later in their college careers.

As expected, the poverty-level students reported a higher degree of participation in the services offered by these programs than did the modal students. This differential participation was particularly large in professional counseling and assistance on financial problems but was also greater for: tutoring by students and professors, professional counseling on career choices, remedial courses and courses on reading skill development, programs to improve writing and number skills, reduced course load, professional counseling for personal and academic problems, and several other areas.

Although substantial positive changes occurred among recipients of these services in attitudes, values, and motivation, there was little indication of impact of the services on academic achievement. Disadvantaged students did not reduce the gap in college grade point average between themselves and the regularly admitted (modal) students, and differences between high school and college grades for the two groups remained approximately the same. The college environment, while not tending to magnify previous differences in academic achievement, did not appear to be compensating for such differences. Overall, the academic success of disadvantaged students at institutions with Special Services Programs was no greater, and no less, than at colleges without such programs. This outcome was not affected by any differential emphasis upon specific programmatic elements, such as tutoring or counseling.

A 1974 review of research on the effectiveness of secondary and higher education intervention programs for disadvantaged students found that such programs at the postsecondary level have had some positive impact upon program participants. These programs appear to have been somewhat effective in increasing retention of disadvantaged youth in college. In some instances, academic achievement appears to have been improved, but still remained below institutional averages for regularly admitted students.

The System Development Corporation is currently conducting an evaluation of the Special Services for Disadvantaged Students Program. The purpose of this study is to evaluate the impact of the federally-funded Special Services for Disadvantaged Students (SSDS) program as it existed during the 1979-80 academic year in postsecondary educational institutions across the country. The base-year report summarizes the SSDS program's short-term impact on freshman students who received special services from the program in that year. A follow-up survey, to be conducted in the fall of 1981, will be separately reported in mid-1982. The follow-up survey will attempt to determine longer-term program impact on the same sample of students, many of whom will then be in their junior year in their colleges and universities. Preliminary findings from the base-year report are summarized below.

- Students who received the full range of SSDS services were 2.26 times more likely to complete the freshman year than similar students who did not receive such services.

- SSDS students attempted and completed more course units than did the students who did not participate in these services.

- Full-service participation by SSDS students was associated with lower grade point averages in the first year. However, it is likely that this finding simply reflects the fact that students with poorer educational background and poorer entry skills tend to be given more services. The fall 1981 follow-up study should demonstrate whether or not this is correct.

Ongoing and Planned Evaluation Studies

Evaluation of the Special Services for Disadvantaged Students Program - The major purpose of this study is to evaluate the impact of participation in Special Services for Disadvantaged Students project activities on student's educational performance and progress. Issues of impact upon the hosting institution and project staff will also be addressed. The base-year study began in 1979 and will be completed by fall 1981.

Sources of Evaluation Data

Program files, Office of Postsecondary Education.

Programmatic Attention to "Disadvantaged" Students by Institution of Higher Education in the United States: A Census for 1971-72, Educational Testing Service, Princeton, New Jersey, April 1973.

The Impact of Special Services Programs in Higher Education for "Disadvantaged" Students, Educational Testing Service, Princeton, New Jersey, June 1975.

Vincent Tinto and Roger H. Sherman, *The Effectiveness of Secondary and Higher Education Intervention Programs: A Critical Review of the Research*, Teachers College, Columbia University, September 1974.

Evaluation of the Special Services for Disadvantaged Students Program, Draft Draft final report, System Development Corporation, Santa Monica, California, 1981.

For further information about program operations,

Contact: Richard T. Sonnergren, 426-8960.

For further information about studies of program effectiveness,

Contact: Robert H. Berls, 245-7884.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Veterans' Cost-of-Instruction Program

Legislation:

Section 420 of the Higher Education Act of 1965; as amended by Public Law 92-318; Public Law 93-380; Public Law 94-482; Public Law 95-336; Public Law 96-374 1/

Expiration Date:

September 30, 1985

Funding History:

Year	Authorization	Appropriation
1973	Indefinite	$25,000,000
1974	"	23,750,000
1975	"	31,250,000 2/
1976	"	23,721,000
1977	"	23,750,000
1978	"	23,750,000
1979	"	19,000,000
1980	"	14,380,000
1981	"	6,019,000
1982	"	None requested

Program Goals and Objectives

The Veterans' Cost-of-Instruction Program is intended to provide improved and expanded services to veterans attending institutions of higher education. These services include recruitment, counseling, special education programs, and outreach activities. Implicit within the design of the program is the objective of encouraging institutions of higher education to expand and maintain enrollments of veterans.

1/ Public Law 96-374 will significantly affect the program. Eligibility and payment factors (e.g. the maximum award was lowered from $135,000 to $75,000) were changed. The descriptions presented reflect the program in Academic Year 1980-81.

2/ Includes a supplemental appropriation of $7.5 million.

Program Operations:

Institutions of higher education, other than proprietary institutions, may receive assistance under this program if the applicant satisfies eligibility criteria related to the enrollment of undergraduate veterans. To enter the program, institutions must have a minimum of 25 enrolled veterans. An institution entering the program must also show that its veteran enrollment represents 110 percent of the previous year's veteran enrollment or that veteran enrollment constitutes ten percent of the total number of undergraduates at the institutions. To remain eligible to participate in the program, an institution must maintain its veteran enrollment at 100 percent of the previous year's enrollment. On May 31, 1976, post-Korea veterans lost their eligibility for educational benefits under the G.I. Bill. The Education Amendments of 1976 allowed these institutions to subtract the number of veterans affected by this termination of eligibility from their previous requirement enrollment figure, thus allowing more institutions to maintain eligibility in the program. An amendment attached to the Alcohol and Drug Abuse Education Amendments of 1978 provided for two additional methods whereby participating institutions can retain eligibility to continue in the program. The first method uses a ratio criterion which allows an institution to be eligible if the decline in its veteran enrollment, from its first year in the program to the present, is no more than the national average of decline over the same period. If an institution fails to become eligible under this first method, it may be declared eligible upon the Secretary's determination that the institution is making reasonable efforts to recruit, enroll, and provide necesary services to veterans. This determination is based on evidence presented by the institution and takes into consideration the extent to which the institution falls short of the ratio criterion used in the first method.

Applicants which satisfy any of these eligibility criteria receive cost-of-instruction payments subject to two major conditions. The first is that a minimum of 90 percent of the funds awarded to an institution must be used to establish a full-time Office of Veterans' Affairs, to employ at least one full-time staff member whose sole institutional responsibility is to veterans, and to provide adequate services. These services include (1) programs to prepare educationally disadvantaged veterans for postsecondary education, (2) active outreach, recruiting, and counseling activities through the use of other funds, such as those available under Federally assisted work-study programs, and (3) an active tutorial assistance program, including dissemination of information regarding program. The second stipulation is that any program funds not used for the above activities must be used solely to defray general academic/instructional expenses--such as instructional salaries, instructional equipment, media equipment, and library materials--and, thus, may be non-veteran related. Instructional expenses cannot exceed 10% of an institution's award. Several exemptions to these conditions are accorded to small institutions (i.e., those enrolling fewer than 2,500 students or enrolling no more than 75 veterans).

Small institutions are required to provide only recruitment and counseling services and to establish a full-time Offices of Veteran's Affairs, which may be staffed by part-time employees who together assume the responsibility of at least one full-time employee. In addition, small institutions also have the option of entering into a consortium agreement with other, comparable institutions, provided that they are in close proximity and that the required services will be available to the veterans on the concerned campuses.

Program funds are disbursed to institutions in one payment. April 16 of each year is referred to as the "count date." At this time, participating institutions are required to count the number of Categories I and II veterans enrolled at the institution. The second payment in January or February provides reallocation of any funds remaining or available due to deobligations, in this program.

Determining the amount of the payment to which a qualified institution is entitled requires the calculation of the payment factor, i.e., that amount the institution is to receive for each eligible veteran. This is done by multiplying the total of all qualified applicant institutions' full-time equivalent Category I and II veteran. Eligible veterans attending on less than a one-half time basis are not included in the full-time equivalent counts. Finally a percentage figure, which is determined by comparing program appropriation with entitlement demand, is applied to $300 and $150 to obtain the payment factor for Category I and II veterans respectively. For FY 1973 to FY 1976, this procedure has been done once a year, based on the April 16 count date, and the payment factors derived at that time were used to determine the amount of the annual award.

An additional limitation on cost-of-instruction payments permits no institution to receive more than $75,000 in any one year. Since the program has not been fully funded, this legislative amendment was added during Fiscal Year 1980 to protect small institutions. To the extent that this limitation makes available funds which would otherwise be apportioned as enormous awards to large institutions, the monies are alloted in such a manner as to ensure that eligible institutions will receive uniform minimum awards of up to $9,000. Should funds still remain available after application of this procedure, they are further distributed to ensure receipt of uniform minimum awards above $9,000--subject to the provision that no institutional awards above $9,000 exceed a cost-of-instruction payment as calculated by the veteran computation procedures described above.

Program management is located centrally, within the Office of Postsecondary Education, by 16 ED staffers.

Program Scope:

Total demand for program funds, as calculated by the veteran enrollment computation procedures, amounted to $ 88.8 million in FY 1981. Award levels on a per veteran basis were determined through a pro rata reduction based on a full-time equivalency count of veteran enrollment within each of the two award level categories.

The distribution of awards to the 888 participating institutions is presented in Table 1.

Table 1
Distribution of Veterans' Cost-of-Instruction
Payments Awards for FY 1980

Award	Number	Percent
Under $5,000	484	54.5%
$5,001-$10,000	232	26.1%
$10,001-$20,000	121	13.6%
$20,001-$40,000	48	5.4%
$40,001-$50,000	3	0.3%

Program Effectiveness and Progress:

No impact evaluations of the Veterans' Cost-of-Instruction Program have been conducted. A descriptive analysis of program data for Academic Year 1975-76 was completed. Based upon findings of this study, the distribution of services and average staffing patterns are presented in Tables 2 and 3.

As can be seen from Table 2, various forms of counseling (except for financial counseling) are available at reasonably high rates. However, the availability of services such as job placement and remedial courses appear to be directly related to the level of VCIP Project funding. The staffing patterns (as presented in Table 3) reveal increments in staff sizes located at $50,000 and $100,000 funding levels. A large proportion of the increases associated with projects funded at more than $50,000 were attributable to additional secretarial and clerk positions.

Sources of Evaluation Data:

Program Files, Office of Postsecondary Education.

Evaluation of the Veterans' Cost-of-Instruction Program, Research Triangle Institute, Research Triangle Park, North Carolina, 1978.

For further information about program operations,

Contact: Stanley Patterson, 245-2806.

For further information about studies of program effectiveness,

Contact: Robert H. Berls, 245-7884.

Table 2

Activities Reported by VCIP Projects in FY 75-76

Activity	$1 - $5,500	$5,500- $9,000	$ 9,000- $25,000	$25,000- $50,000	$50,000- $75,000	$ 75,000- $100,000	$100,000- $135,000	Total
Personnel Counseling	64%	74%	69%	81%	83%	82%	92%	73%
Family Counseling	44%	52%	52%	73%	63%	82%	46%	56%
Career Counseling	55%	80%	68%	82%	88%	88%	77%	72%
Educational Counseling	69%	76%	74%	86%	92%	88%	92%	78%
Financial Counseling	28%	17%	27%	34%	46%	29%	15%	28%
Job Placement	14%	20%	29%	28%	38%	41%	23%	26%
Remedial Mathematics	17%	22%	36%	37%	29%	53%	62%	32%
Remedial English	18%	22%	36%	38%	33%	47%	62%	33%
Remedial Reading	18%	26%	36%	35%	29%	24%	54%	31%
Tutoring Service	74%	78%	76%	74%	75%	76%	90%	78%
Study Center	11%	20%	27%	45%	25%	29%	23%	26%

Table 3

Average FTE Staffing Patterns Reported by VCIP Projects for FY 75-76

Staff Position	$1 - $5,500	$5,500- $9,000	$9,000- $25,000	$25,000- $50,000	$50,000- $75,000	$75,000- $100,000	$100,000 $135,000
Full-Time OVA Person	.6	.7	.7	.7	.8	.8	.7
Coordinator	.3	.3	.3	.3	.5	.6	.6
Counselor	.2	.1	.3	.6	1.8	1.1	2.0
Outreach Worker	.1	.2	.3	.4	.9	.6	1.2
Recruiter	.1	.1	.2	.1	.2	.4	1.7
Secretary	.2	.2	.5	.9	.9	1.3	2.5
Clerk	.1	.1	.2	.5	1.5	1.7	3.2
TOTAL	1.6	1.6	2.7	3.7	6.8	6.7	11.9

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name

High School Equivalency Program; College Assistance Migrant Program

Legislation

Higher Education Act, Title IV,
Part A, Subpart 5, Section 418A,
as amended by P.L. 96-374

Funding History:	Year	Authorization	Appropriation
High School Equivalency Program	1980	$12,000,000[1]	$6,160,000
	1981	12,000,000[1]	6,345,000
	1982	12,000,000[1]	6,345,000
College Assistance Migrant Program	1980		1,173,000
	1981		1,208,000
	1982		1,208,000

Program Goals and Objectives

These programs provide grants to institutions of higher education to assist migrant and seasonal farmworkers beyond the age of compulsory school attendance to complete the courses necessary to receive a high school diploma or its equivalent, and to assist such farmworkers enrolled in the first undergraduate year at an institution of higher education to pursue successfully a program of postsecondary education.

The High School Equivalency Program (HEP) brings together the outreach, teaching, counseling and placement services necessary to recruit and serve eligible farmworker school dropouts, aged 17-24, who wish to obtain a High School Equivalency Certificate and subsequent placement in a college or university, a job-training program, the military or full-time employment. Participants receive room and board and a stipend for personal expenses. They live on a college or university campus and can use the cultural, recreational, health and other facilities. They attend at least 30 hours of class a week in the subjects covered by the General Education Development examination and receive whatever additional tutoring is required. Career and personal counseling, as well as placement assistance, are also provided.

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[1] for both programs.

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The College Assistance Migrant Program (CAMP) is intended to assist migrant and seasonal farmworkers and their dependents who are enrolled as first year undergraduates to make the transition from secondary to postsecondary education, to develop the motivation necessary for success in postsecondary education and to complete their first year successfully. HEP graduates and eligible graduates of other high school equivalency programs may participate in CAMP. Participants receive tuition scholarships and a stipend for personal expenses. The program also provides whatever tutoring and counseling is required and assists in arranging grants, loans and work-study arrangements to cover the full cost of the remaining three undergraduate years.

Program Operations

Both programs are funded through one year grants to private, non-profit and state-supported colleges and universities.

From 1974 to 1980, the Department of Labor funded HEP and CAMP, using a discretionary portion of funds set-aside for migrant and seasonal farmworker programs. The Comprehensive Employment and Training Act Amendments of 1978 included specific authorization for these programs. In 1980, the program was transferred to the Department of Education and reauthorized as part of the Higher Education Act. Funding for the two programs has increased from $5,396,665 in 1975 to $7,553,000 in 1981. New program regulations have been issued and program grants are now issued competively.

Program Scope

HEP is expected to serve about 2,940 students at 14 sites, and CAMP about 675 at three sites in FY 1981.

Program Effectiveness and Progress

During academic year 1979-80, 80 percent of the HEP participants successfully completed the General Education Development examination; 90 percent were placed in colleges, job-training programs or full-time jobs. During the same year, 98 percent of CAMP participants successfully completed their first undergraduate year. Whereas the grade point average for entering CAMP students was generally one-half point below that of their freshman class as a whole, the grade point average for CAMP students at the end of the freshman year was one-half point above the class average.

Ongoing and Planned Evaluation Studies

None planned

Sources of Evaluation Data

Program records, Office of Postsecondary Education.

Program Data

For further information about program operations,

Contact: Vidal Rivera, 245-2222.

For further information about studies of program effectiveness,

Contact: Gerald Burns, 245-9401.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

State Student Financial Assistance Training Program

Legislation:

Sec. 493C of Title IV, Part F, Higher Education Act of 1965, as created by P.L. 94-482 (October 12, 1976); repealed by P.L. 96-374.

Expiration Date:

September 30, 1980

Funding History:

Year	Authorization	Appropriation
1977	$ 728,009 1/	$448,009
1978	$ 770,073 1/	$490,073
1979	$ 553,085	$533,085
1980	$ 534,240	$534,240
1981	$1,000,000	$503,367 2/

Program Goals and Objectives

The purpose of the SSFAT Program is to help States design and develop programs to increase the proficiency of institutional and State financial aid administrators in all aspects of student financial assistance. States identify current and future financial aid administration needs, develop strategies and training materials to strengthen present programs, and provide appropriate pre-service and in-service training for financial aid administrators in State agencies and in postsecondary institutions throughout the State.

Program Operations:

The law provided for an annual Federal appropriation of $280,000 through Fiscal Year 1978, to be divided equally among participating States and territories; however, funds were never appropriated for this authorization. The law also established the current funding pattern of transfers in each State of amounts equal to one-twentieth of one percent of the funds allotted under each of the Supplemental Educational Opportunity Grant, College Work-Study, and National Direct Student Loan Programs, not to exceed $10,000 from each program; and for equal matching Federal funds by amounts from State resources.

1/ These figures represent the sum of $280,000 and the authorized yearly transfers from three Federal student financial assistance programs according to the formula described in the Program Operations section of this report.

2/ Section 493 C is repealed by P.L. 96-374. However, part of the program authority is now included under Title IV, Part F, Sec. 486. Since Part F contains "General Provisions Relating to Student Financial Aid Programs" this program will not be reported separately in the future.

States wishing to participate in the SSFAT Program must file an application for funds for each program year with the Secretary of Education through the State agency administering its State Student Incentive Grant program. At the end of each award period, the appropriate State agency must file a report on its expenditures and training activities for that year.

Program Scope:

Fifty-seven states and territories are potentially eligible to participate in the SSFAT Program. In the first year of the program existence, 1977-78, there were 41 participating entities, consisting of 39 states and Puerto Rico and the District of Columbia. In the fourth and final year of the program, 1980-1981, it is expected that at least 43 states will have participated, while Puerto Rico and the District of Columbia have discontinued their participation. See Table 1 for more details on funding.

The most recent program year for which complete figures are available, 1979-80, indicates that almost two-thirds of the 12,548 financial aid administrators identified through the program's need-analysis surveys as being "eligible to benefit" attended SSFAT Program training sessions. A similar number of financial aid administrators received materials developed and/or distributed with SSFAT Program funds. See Table 2 for more details on participants.

Program Effectiveness and Progress:

The SSFAT Program has provided for training opportunities that address the complexities of both State and Federal student financial aid programs. Workshops presented with the assistance of SSFAT Program funds have ranged from sessions in less populous states, such as Alaska and Rhode Island: to the multiple presentations in California, New York, and Pennsylvania. Materials developed with SSFAT Program funds have included guides to available student financial aid, model policy and procedures manuals for financial aid offices, and monographs. One monograph on legal issues in financial aid developed in Illinois was reproduced and distributed by several other states. Materials through the third program year have been indexed and are on file in the Division of Training and Dissemination, Office of Student Financial Assistance.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

SSFAT Program files, Office of Postsecondary Education.

For further information on Program Operations:

Contact: Pat Hopson, 472-3320.

For further information on studies of Program Effectiveness:

Contact: Dan Morrissey, 245-7884.

TABLE 1

Funding Summary
State Student Financial Assistance
Training Program
FY 1977-80

	FY 1977-78	FY 1978-79	FY 1979-80	FY 1980-81
Federal Appropriations	$413, 724.00	$429,630.00	$491,949.00	$503,367.00
Participating: States	39	44	43	*
Participating: Others	2	2	0	0
State Expenditures	$399,690.71	$448,224.39	$495,483.69	*
Federal Expenditures	$333,431.85	$376,606.51	$413,623.24	*
Total Expenditures	$733,122.56	$824,830.90	$909,106.93	*

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*Figures for FY 1980-81 are not available at this time.

TABLE 2

Compilation of Data
FY 1979-80
State Student Financial Assistance
Training Program

Eligible Beneficiaries	12,548
Actual Beneficiaries	9,419
Attended Workshops	8,100
Received On-Site Assistance	726
Received Other Training	1,922
Received Materials	8,146

Training Sessions (Total)	506
Workshops/Seminars	263
On-Site Assistance	216
Other	27

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name

Training Program for Special Programs Staff and Leadership Personnel

Legislation	Expiration Date
Higher Education Act of 1965 as amended by Section 124 (c) of Public Law 94-482; as amended by Public Law 96-374.	September 30, 1985

Funding History:

Year	Authorization 1/	Appropriation
1978	$200,000,000	$2,000,000
1979	200,000,000	2,400,000
1980	200,000,000	2,000,000
1981	200,000,000	1,000,000
1982	165,000,000	2,000,000 (est.)

Program Goals and Objectives

The Training Program for Special Programs Staff and Leadership Personnel is designed to provide training for staff and leadership personnel who will specialize in improving the delivery of services to students assisted by the Special Services, Upward Bound, Talent Search, and Educational Opportunity Centers programs. Training for local project personnel is designed to improve their skills in leadership, management, academic instruction and counseling.

Program Operations

The Training Program awards contracts 2/ to support the operation of short-term training institutes and in-service training programs to improve the skills of staff and leadership personnel. Proposals are requested from institutions of higher education and other public agencies and non-profit private organizations. The program is forward-funded and contracts are awarded competitively. Beginning in FY 1982, The Training Program will become a discretionary grant program instead of a contract program. It is expected that 20 new grants will be awarded at an average of $100,000 per grant. As one of the "TRIO" programs, 45 ED staff manage this program along with five other programs in the Division of Student Services.

1/ Represents budget authority for all the Special Programs for Disadvantaged Students: Special Services, Upward Bound, Talent Search, Educational Opportunity Centers, Service Learning Centers, and the Training Program.

2/ Public Law 96-374 authorizes grants rather than contracts.

Program Scope

In FY 1979, contracts were awarded to Marquette University ($400,000) for leadership training sessions, the University of Colorado ($1,200,000) for training in instructional and counseling techniques, and Atlanta University ($800,000) for management and evaluation training sessions. A total of 1,899 project staff persons received training under the above contracts.

In FY 1980, two contracts were awarded to provide training to approximately 1,400 Special Programs project personnel. One contract went to Marquette University ($1,400,000) to provide training to experienced project personnel in the areas of project evaluation, designing and implementing effective counseling and tutorial components, and curriculum design. The second contract went to Far West Laboratory ($600,000) to provide project management training to new Special Programs project personnel.

In FY 1981, one contract will be awarded to provide training to about 550 project personnel.

Program Effectiveness

A program evaluation has not been conducted.

Ongoing and Planned Evaluation

None Planned

Sources of Data

Program files, Office of Postsecondary Education.

For further information about program operations.

Contact: Richard T. Sonnergren, 426-8960.

For further information about program effectiveness

Contact: Robert H. Berls, 245-7884.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name

Strengthening Developing Institutions Program (SDIP)

Legislation

Higher Education Act of 1965, Title III, Public Law 89-329, as amended by Public Law 96-374.

Expiration Date

September 30, 1985 1/

Funding History:	Year	Authorization	Appropriation
	1966	$ 55,000,000	$ 5,000,000
	1967	30,000,000	30,000,000
	1968	55,000,000	30,000,000
	1969	35,000,000	30,000,000
	1970	70,000,000	30,000,000
	1971	91,000,000	33,850,000
	1972	91,000,000	51,850,000
	1973	120,000,000	87,350,000
	1974	120,000,000	99,992,000
	1975	120,000,000	110,000,000
	1976	120,000,000	110,000,000
	1977	120,000,000	110,000,000
	1978	120,000,000	120,000,000
	1979	120,000,000	120,000,000
	1980	120,000,000	110,000,000
	1981	120,000,000	120,000,000
	1982	129,000,000	129,600,000

Program Goals and Objectives

The program objective in Fiscal Year 1981 was to provide assistance to developing institutions of higher education which demonstrate a desire and a potential to make a substantial contribution to the higher education resources of the Nation but which, for financial and other reasons, are struggling for survival and are isolated from the main currents of academic life. Specific program objectives included the improvement of the quality of curriculum, faculty, student services, administration, and other general areas of institutional operations. Since its inception, the program has included both two- and four-year institutions enrolling substantial numbers of students from low-income families as well as representatives of minority populations. Almost a thousand colleges and universities were eligible to participate in the Title III program based on average BEOG awards and E&G expenditures in FY 1981.

1/ The program for 1982 will be changed due to the Higher Education Amendments of 1980. It will consistent of three individual grant programs; The Strengthening Program, The Special Needs Program, and the Challange Grant Program. Details on the new programs are available from R. Fairley, Institution Aid Programs (755-1254).

The program goal was to provide such supplementary financial assistance as may be necessary to allow developing institutions to move into "the mainstream of American higher education" so that they might, on the basis of offering an education of good quality, reasonably compete for students and external financial resources.

Program Operations

Developing institutions for FY 1981 were defined in the legislation as institutions of higher education which: (1) provide an educational program which awards an A.A. or a B.A. degree, (2) are accredited by a nationally recognized accrediting agency or association, or making reasonable progress toward such accreditation, (3) have satisfied both of the above requirements during the five academic years preceding the academic year during which program assistance would be provided--with the exception that the five-year stipulation may be waived for institutions which serve to increase the higher education available to Indians. In addition, three of the five years may be waived for institutions serving substantial numbers of Spanish-speaking persons, (4) admit as regular students only persons having a certificate of graduation from a high school providing secondary education or the recognized equivalent of such a certificate, (5) are public or non-profit, and (6) meet such other requirements as may be prescribed by regulations. The law requires that such prescriptions include an indication that the institutions participating in the program are: (a) making a reasonable effort to improve the quality of their teaching and administrative staffs and student services programs and (b) for financial or other reasons are struggling for survival and isolated from the main currents of academic life.

During Fiscal Year 1979, new regulations were adopted which changed the eligibility criteria. Two quantitative criteria replaced the old measures, resulting in a simpler eligiblity process.

Institutional eligibility was determined by considering the size of its average Basic Educational Opportunity Grant (BEOG) award per full-time undergraduate student. This criterion is a measure of the institution's service to low-income students, and is given double weight. The second criterion is the institution's cost per full-time equivalent undergraduate student in educational and general expenditures, which is a measure of the institution's financial health.

In all instances, a developing institution is the grantee even when bilateral or consortium arrangements with other agencies are used. A bilateral arrangement may involve many assisting agencies, however, the current appropriation law limits funding of more than one non-profit agency.

Institutions qualified as developing in FY 1981 submitted a proposal that included the following three sections; 1) institutional narrative, 2) activity narratives, and 3) budgets. The institutional narrative is to include; 1) mission and goals of the institution, 2) student characteristics and 3) the long-range plan which includes long and short range goals, planned activities, criteria for measuring progress, time schedules, resources needed, and procedures to be used to monitor the progress. There were four program areas within which activities could be funded; academic, administrative and management, student services and fiscal stability. The proposals were reviewed and rated on the basis of the the entire proposal. The criteria are "to what extent does the applicant's mission and goals reflect its constituents needs," "to what extent does the size, scope, and duration of proposed activities contribute to the stated goals," and to what extent extent is the proposed cost realistic." If the proposals exceeded an average rating of 50 points, then the proposal was rated on program priorities. Program priorities were to "strengthen the academic program for low-income and minority students," and "contribute to the long term stability of the institution." Grantees were expected to submit twice yearly progress report and yearly evaluation reports prepared by a third party.

Program Scope

In total from FY 1966 to FY 1981, over $1.2 billion was appropriated for this program. Three distinct funding strategies were used over this period. They are summarized as below.

> The Basic Grant Strategy - FY 1966 to FY 1972 -- Total Funding, $210.7 million. Number of participants ranged from 158 to 556. Activities were funded on a project by project basis usually for one year and judged in the same manner. See Table I for more details on participants.
>
> The Basic and Advanced Grant Strategy - FY 1973 to FY 1978 -- Total Funding $637 million; $311 million for the Basic Program; and $326 million for the Advanced Program. The Advanced Program projects were selected and judged as they related to the institutions' development plan. See Tables 2 and 3 for more details on participants.
>
> The Combined Strategy - FY 1979 to FY 1981 -- Total funding, $350 million. All institutions are required to have long-range a development plan. Projects funded must relate to the plan and are judged on the basis of their contribution to its implementation. (See Table 4 for more details on participants and funded activities.)
>
> Funds will be awarded under new regulations reflecting the Higher Education Amendments of 1980 for the first time in FY 1982.

Program Effectiveness and Progress

Over the past fifteen years a number of studies have been completed covering a wide spectrum of activities. However, up to this point there has been no comprehensive evaluation of the overall impact of the program. The first phase of a study, which began in late 1980, to determine how best to evaluate the impact of the program both from a national perspective and also at the institutional level has been completed.

While the contractor uncovered a number of measurement problems because of the multiplicity and diversity of kinds and mixes of activities that institutions propose and are in fact allowed to operate, they concluded the "program objectives are measureable at the institutional and national level; that a systematic attempt to document program performance in these terms is feasible and desirable; and that such an effort should become routine managment practice in monitoring and accounting for program performance.

In coming to this conclusion, they suggested that currently too little attention is given to outcomes and too much to activity milestones. However, they also recognized this is due in part to the (reasonable) conviction that the institution can best determine its needs and strategies and measure its accomplishments; the absence among progrm operations staff of special competences in higher education, in the variety of disciplines represented in the activities, or in impact evaluation per se; and the lack of ready and persuasive evaluation capability in the eligible institutions themselves, along with the added cost for the institution of and executing a reasonable impact evaluation.

Finally it is also reasonable to expect that orderly and determinable institutional and activity characteristics can be identified that may explain differences in program impact indicies at the institutional level and that such monitoring of impact can be routinized for efficient operation by existing program staff. This will aid not only impact analysis but the applications review process, technical assistance to institutions, and the better specification of rules and regulations.

Ongoing and Planned Activities

Phase II of the above noted study will be conducted in FY 1982 under the new Institutional Aid program to document both institution and overall program impact. It is scheduled for completion in FY 1983.

Sources of Evaluation Data:

A Study of Title III of the Higher Education Act: The Developing Institutions Program, Center for Research and Development in Higher Education, University of California--Berkeley, January 1974.

Assessing the Federal Program for Strengthening Developing Institutions of Higher Education, General Accounting Office, October 31, 1975.

The Development of Institutions of Higher Education: Theory and Assessment of Impact of Four Possible Areas of Intervention Plus Technical Appendices, Harvard Graduate School of Education, Cambridge, Massachusetts, January 1977.

Research Triangle Institute, A Study of the Strengthening Developing Institution Program, Phase I; Research Triangle Park, North Carolina, 1981.

Program Files, Division of Institutional Development, Office of Postsecondary Education.

For further information about program operations,

Contact: Richard Fairley, 755-1254

For further information about studies of program effectiveness,

Contact: Sal Corrallo, 245-7884

Table 1

TITLE III, HIGHER EDUCATION ACT OF 1965 STRENGTHENING DEVELOPING INSTITUTIONS
BASIC INSTITUTIONAL DEVELOPMENT PROGRAM

COMPARATIVE DATA FOR FISCAL YEARS 1966-1972

	1966	1967	1968	1969	1970	1971	1972
Funds Appropriated & Obligated (in thousands)	$ 5,000	$30,000	$ 30,000	$30,000	$30,000	$ 33,850	$ 51,850
Funds Requested by Institutions (in thousands)	$32,250	$56,792	$113,925	$95,187	$85,434	$105,048	$143,000
Number of Proposals Submitted	310	560	500	464	433	441	456
Developing Institutions:							
Number of Grantees	127	411	220	229	227	198	226
Participating Institutions	31	55	148	186	215	307	330
Total	158	466	368	415	442	505	556
Assisting Institutions	66	168	131	142	156	151	185
Assisting Agencies & Businesses	9	53	28	47	51	53	101
National Teaching Fellowships Approved	263	1,514	727	655	649	541	635
Professors Emeriti 1/ Awarded	--	--	--	--	56	64	73
Geographical Representation (States/Territories)	(38/1)	(47/3)	(45/3)	(45/3)	(44/4)	(40/3)	(43/3)

1/ The Higher Education Amendments of 1968 added this component to the program and the first award was in 1970.

Source: Program files, Office of Postsecondary Education.

Table 2
TITLE III, HIGHER EDUCATION ACT OF 1965 STRENGTHENING DEVELOPING INSTITUTIONS BASIC INSTITUTIONAL DEVELOPMENT PROGRAM

COMPARATIVE DATA FOR FISCAL YEARS 1973-1978

	1973	1974	1975	1976	1977	1978
Funds Appropriated & Obligated (in thousands)	$ 51,850	$ 51,992	$ 52,000	$ 52,000	$ 52,000 2/	$ 52,000
Funds Requested by Institutions (in thousands)	$220,000	$198,000	$222,000	$196,000	$184,000	$172,000
Number of Proposals Submitted	470	511	491	431	410	415
Developing Institutions:						
Number of Grantee	235	215	207	203	190	238
Participating Institutions	232	139	230	232	229	205
Total	467	354	437	435	419	443
Assisting Institutions	181	163	141	163	168	211
Assisting Agencies and Businesses	134	178	118	166	149	257
National Teaching Fellowships Approved	354	524	461	362	3/	3/
Professors Emeriti 1/ Awarded	45	59	48	38	3/	3/
Geographical Representation (States/Territories)	(43/3)	(47/3)	(44/3)	(44/4)	(46/3)	(46/4)

1/ The Higher Education Amendments of 1968 added this component to the program and the first award was in 1970.
2/ An additional $476,440 was received from OE reprogrammed money to make the new total obligated funds--$52,476,440.
3/ Not available.

Source: Program files, Office of Postsecondary Education.

Table 3
ADVANCED INSTITUTIONAL DEVELOPMENT PROGRAM
TITLE III, HIGHER EDUCATION ACT OF 1965
SUMMARY OF FISCAL YEARS 1973-78

	1973	1974	1975	1976	1977	1978	Total
Funds Appropriated And Obligated	$ 35,500,000	$ 48,000,000	$ 58,000,000	$ 58,000,000	$ 58,000,000	$ 68,000,000	$ 325,500,000
Funds Requested by Institutions	336,554,162	400,387,759	318,997,848	314,577,547	281,373,538	352,595,125	2,004,485,979
Number of Proposals Submitted	156	205	174	134	193	135	997
Number of Institutions Funded	28	36	61	34	89	55	303
Number of New Institutions Funded	28	36	19	32	29	21	165
Number of Grants Awarded	28	36	63	34	110	58	320
Geographical Representation of Grantees (States)	22	18	26	23	29	26	36
Number of Different Four-Year Colleges Funded	17	23	44	22	63	37	108

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* In FY 1977-79 awards with a mean of $92,000 were made to previous grants.

Source: Program files, Office of Postsecondary Education.

Table 4

Funding Summary
Developing Institutions Program
FY 1979-1981

		Fiscal Year	
	1979	1980	1981
Appropriation	120,000,000	110,000,000*	120,000,000
Obligations	117,000,909	110,000,000	120,000,000
Funds Requested	567,775,965	562,007,501	521,884,306
Number of Proposals	504	445	657
Number of Grantees	372	302	380
2-Year	166	92	144
4-Year	206	210	236

*$12 million was set aside for non-competing continuations. In FY 1979 66 2-year schools were given only one year funding of their multi-year award. Thus, in FY 1980, money had to be set aside to fund the second year of these multi-year awards. $3.5 million is set aside for noncontinuations in FY 1981. This set aside is for 17 2-year institutions.

Source: Program files, Office of Postsecondary Education.

Table 5
AIDP - Ten Most Frequently Funded Activities
Fiscal Year 1973-1978

Activity	Number Funded	Obligated in $1,000's	Number of Institutions
Top 10 Activities			
Planning Phase	200	$ 9,286	165
Planning, Management, and Evaluation	187	32,454	140
AIDP Coordination and Control	174	23,569	130
Vocational and Technical Training	318	64,489	110
Career Counseling/Guidance/ Advisement/Placement/Follow-up	96	17,367	82
Instructional Methods and Technology	90	21,863	70
Strengthening Fund Raising Capacity	86	2,105	69
Management Information Systems	70	65,000	100
Varied Student Services	59	16,595	58
Development Studies Program	57	9,887	42
Percent of total (top 10)	70	65	100
Total of all Activities	1,905	262,615	165

These activities constituted approximately 70 percent of all AIDP-funded activities and accounted for 66 percent of all expenditures under AIDP programs.

Source: Program files, Office of Postsecondary Education.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Minority Institutions Science Improvement Program

Legislation:

Section (3)(a)(1), National Science Foundation Act of 1950, enacted by P.L. 81-507, 64 Stat. 149 (42 USC 1862), amended by Section 1303 of which added Section 406 A to the General Education Provisions Act (20 U.S.C. 1221 e-1 b; 3444). PL 96-374

Expiration Date:

September 30, 1984

Funding History:	Year	Authorization	Appropriation
	1972		$ 5,000,000
	1973		5,000,000
	1974		5,000,000
	1975		5,000,000
	1976		5,000,000
	1977		5,000,000
	1978		5,000,000
	1979		5,000,000
	1980		5,000,000
	1981	$ 5,000,000	5,000,000
	1982	$ 5,000,000	5,000,000

Program Goals and Objectives:

The Minority Institutions Science Improvement Program (MISIP) was established to assist minority institutions to develop and maintain quality science education and to improve access to science and engineering careers for pre-college and undergraduate level minority students.

The MISIP program began in 1972 at the National Science Foundation at a funding level of $5 million per year. The program has supported a wide range of science projects at institutions whose student enrollments are predominantly from ethnic minorities underrepresented in science and engineering. The disadvantaged groups supported through the MISIP program include Alaskan Natives, American Indians, Black Americans, Hispanics, Pacific Islander and other ethnic groups underrepresented in science and engineering.

Program Operations

The program supports four types of projects. The institutional and cooperative grant awards are for comprehensive science education projects at a single one institution or at a consortium of institutions, and are funded at a maximum of $300,000 three years. The design projects are small projects which provide science planning capability to eligible institutions having no formal planning mechanisms; these grants are made for a maximum of one year at $20,000. Special projects are designed are designed for single-focus science improvement activities these grant projects are funded for a maximum of two years at $50,000. The program receives, on the average about 60 applications annually in the institutional/cooperative category, and about 100 applications in the special projects category. The proposals are evaluated using a peer review system. Each application is read and evaluated by two separate panels composed of four or five scientists and engineers representing both the social and natural sciences.

Program Scope

During the first nine years history of the program, MISIP has provided $41.7 million for 207 direct institutional/cooperative projects at 139 different institutions and $2.3 million for 48 special projects, design projects and a variety of other activities that relate to the objectives of the program.

Table 1 outlines the types of awards, the year initiated, the number funded and the average size of the award.

Table 1
Minority Institutions Science Improvement Program

TYPES OF SUPPORT

Award Type	Institutional	Cooperative	Design	Special Project
FY Initiated	1972	1974	1977	1979
Primary Purpose	Basic Science Improvement	Joint Science Improvement	Assist Long-Range Planning	Single Focused
Maximum Award Size	$300,000	$300,000	$20,000	$50,000
Maximum Duration	36 mos.	36 mos.	12 mos.	24 mos.
No. of Awards through FY 1980	207	6	10	32
No. of Awards in FY 1980	19	0	1	19
Total Amount Awarded	41,677,225	1,099,873	197,814	1,274,621
Average Award Size	201,339	183,312	19,781	39,832

Source Program Files

Program Effectiveness and Progress

The purpose of this program is to effect long-range improvement in science education out predominantly minority institutions. As Table 2 indicates, one half of the eligible institutions participated in the program through FY 1980.

Table 2
Minority Institutions Science Improvement Program (MISIP)

Institutional Participation in MISIP, FY 1972-1980

Predominant Minority Group	Number Eligible*	Number of Awards	Number of Diff. Inst. Rec. Awards**	Sucess Ratio (Awards/ Proposals)
Alaskan Native	4	2	1	67%
American Indian	6	11	9**	65%
Black	143	157	98**	49%
Mexican American	16	8	6	40%
Puerto Rican	25	21	14	51%
Micronesian	1	1	1	100%
Combination	19	13	8**	70%
TOTAL	214*	213	137**	50%

*Does not include 34 institutions whose eligibility/accreditation is uncertain or which are non-accredited.

**Includes seven non-accredited American Indian institutions, two non-accredited Black institutions and one Hawaiian institution not included in the current eligibility pool count.

More to the point, a 1979 evaluation of the program concluded that the program while limited in funding has been able to initiate capability enhancing activities in participating institutions. Further, participating institutions reported increases in the number of sponsored science research projects conducted by science faculty.

However, little could be reported as to the impact of the program on the actual production of science degrees in part due to the small size of grants and in part due to the relative newness of the program. There was, however, an increase reported in the time spend by faculty on science student career couseling and advice.

Ongoing and Planned Evaluation Studies

No new studies are planned; however, information will be gathered from participating institutions when applicable as part of an on-going evaluation of the Developing Institutions Program.

Sources of Evaluation Data

Program files, Office of Postsecondary Education.

Author D. Little Inc., Evaluation of Minority Institutions Science Improvement Program, Prepared for the National Science Program (No. C-79691) February 1979.

For further information about program operations:

Contact: Argelia Velez, 472-6583

For further information about program effectiveness:

Contact: Sal Corrallo, 245-7884

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name

Biomedical Sciences

Legislation	Expiration Date
Elementary and Secondary Education Act, Title III Part L	September 30, 1983

Funding History:	Year	Authorization	Appropriation
	1980	$40,000,000	$ 3,000,000
	1981	40,000,000	3,000,000
	1982	--- 1/	---

Program Goals and Objectives

To encourage and help prepare talented secondary school students from economically disadvantaged backgrounds to pursue careers in the biomedical sciences, grants are awarded to institutions of higher eduction to provide these students with the necessary academic skills, counseling, and exposure to the opportunities in the field. The institutions work in conjunction with local educational agencies, private secondary schools and community health agencies in the geographical area to provide students at the secondary school level with an intensive academic program in mathematics, the sciences, and English and study skills development as well as experiences in laboratory and health delivery settings, guidance and counseling, and exposure to professionals in the biomedical sciences. Projects must offer at least 100 hours of training after school during the academic year and a six-week summer program of academic instruction and enrichment to accommodate all of the students who wish to enroll.

Program Operations

The authorizing legislation requires that each project operate for a five year period, although awards are made for single year's duration with subsequent awards dependent on available funds and maintenance of enrollment at 50 percent of the preceding years enrollment. A five year project period enables grantees to enroll target students while they are in the ninth grade and to provide intensive, consistent, and continuing experiences for these students during high school, and to assess each participant's experience, including their first year at a university.

The law also requires that projects must enroll at least 100 ninth grade students, but permits additional students to enter at the tenth grade level. Students in the eleventh and twelfth grades may also enroll if they have had similar course experience in a comparable program. No grant may exceed $2,400 for each student participant, of which not more than $30 per month may be made available to each student as a stipend. Additional project costs are allowed for the summer program.

1/ Repealed by the Omnibus Budget Reconciliation Act of 1981.

Students eligible for participation must be from a family which had, during the preceding year, an income equal to 50 percent or less of the national median income for families of comparable size. Students from this pool must also have the potential for successfully completing college level courses in the biomedical sciences.

Grants to institutions of higher education are made on the basis of a national competition. To encourage participating students to serve in communities underrepresented by the biomedical sciences after completing their training, special consideration is given to those projects which are located in rural areas or areas where there are health personnel shortages. Other factors which are given special consideration in making awards are the extent to which a project (1) offers opportunities not previously available and (2) assures a diverse geographic distribution of all awards.

Program Scope

This program complements activities being carried out under the Department of Education's Special Programs for the Disadvantaged, which concentrate on identifying and encouraging disadvantaged students to complete high school and to enter and succeed in postsecondary education, as well as the Graduate/Professional Educational Opportunities program which supports graduate fellowships, some of which are in the biomedical sciences. This program also complements several programs outside the Department of Education, including the Public Health Service's Health Professions Graduate Student Loan program, Health Career Opportunity Program, and Health Professions Student Loan program, and the National Institute of Health's Minority Biomedical Support program.

Table 1 summarizes actual awards for FY 1980 and expected awards for FY 1981. FY 1981 funds will be used for continuation awards although because of an assumed attrition rate of 20 percent, two new projects may be funded.

Program Effectiveness and Progress

Projects are funded for a five year period, based on the availability of funds in subsequent years. Grantees are expected to assess each participants experience, including their first year at a university however, the program has been operative for too short a period to determine its effectiveness.

Ongoing and Planned Studies

None Planned for FY 1981

Sources of Data

Program Files, Office of Postsecondary Education.

For further information about program operations

Contact: Richard Sonnergren, 245-9758.

For further information about studies of program effectiveness

Contact: Robert Berls, 245-7884.

Table 1

Summary of Projects Funded Under Biomedical Sciences
1980 and 1981

	1980 Actual	1981 Actual
Number of Projects		
-- New Awards	12	--
-- Continuation Awards	----	12
Total	12	12
Number of Students Enrolled		
New Projects	1,200	--
Continuation Projects	---	1,200
Total	1,200	1,200

Sources: Program Files

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Law School Clinical Experience Programs

Legislation:

Public Law 89-329 Higher Education Act of 1965 (as amended by Public Law 92-318), Title IX, Part E, extended by Public Law 96-374

Expiration Date:

September 30, 1985

Funding History:

Year	Authorization	Appropriation
1978	$7,500,000	$1,000,000
1979	7,500,000	2,000,000
1980	7,500,000	4,000,000
1981	7,500,000	3,000,000
1982	1,000,000	---

Program Goals and Objectives:

The overall goal of this program is to provide clinical experience to students in the practice of law.

Program Operations:

The Secretary is authorized to enter into agreements with accredited law schools for the purpose of paying not more that 90 percent of the cost of establishing or expanding clinical law programs. Costs are limited to such expenditures as: planning; preparation of related teaching materials; administration; training of faculty members; payments for faculty, attorneys and other directly involved in supervision; appropriate travel; and other activities related to the program. Proposals are submitted in a national competition. A panel of outside consultants reviews the proposals and makes recommendations for funding to the Secretary. The program is forward funded.

Program Scope:

The Law School Clinical Experience program was first funded as a demonstration program in 1978 with an appropriation of $1,000,000. The appropriation has doubled annually with $2 million in 1979 and $4 million in 1980. In the academic year 1980-81, the $4,000,000 was awarded to 84 law schools to establish or expand programs that provide law students with actual law experience. Institutions receiving the grants which ranged in size from $20,000-$75,000 are located in 42 States, the District of Columbia and Puerto Rico.

Program Effectiveness and Progress:

When initially funded in 1978, this program was to have supported one-time only demonstrations to stimulate accredited law schools to establish or expand clinical training programs for law students in the actual practice of law. Using example and imitation as criteria the Federal objective to demonstrate the value of clinical experience in the education and training of law students can be said to have been met. For example, the Ford Foundation sponsored Council on Legal Education for Professional Responsibility, Inc. (CLEPR) has spent approximately $7,000,000 over the past ten years to support the demonstration and development of approximately 100 clinical legal education programs. In view of this evidence it has been concluded that the concept of clinical legal training has been demonstrated and if the program is of value it should be the individual institution's responsibility to support the operation of these programs.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

Program files, Office of Postsecondary Education.

For further information about program operations,

Contact: Louis Venuto, 245-2347.

For further information about studies of program effectiveness,

Contact: Sal Corrallo, 245-7884.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Legal Training for the Disadvantaged

Legislation:

Public Law 89-329 of the Higher Education Act of 1965 (as amended by Public Law 93-380), Title IX, Part D, Section 966; extended by Public Law 96-374.

Expiration Date:

September 30, 1985

Funding History:

Year	Authorization	Appropriation
1974	1/	$ 750,000
1975	1/	750,000
1976	1/	750,000
1977	1/	750,000
1978	1/	1,000,000
1979	1/	1,000,000
1980	1/	1,000,000
1981	1/	1,000,000
1982	$1,000,000	1,000,000

Program Goals and Objectives:

The purpose of Title IX, Part D, Legal Training for the Disadvantaged, is to makers grants to or to enter into contracts with public and private agencies and institutions for the purpose of assisting persons from disadvantaged backgrounds, to undertake training in the legal profession. The program was established for the purpose of bringing about a significant increase in the number of lawyers from minority and disadvantaged groups. The program formerly funded and administered by the Office of Economic Opportunity (OEO) is now administerd by ED. The FY 1974 appropriation was the first specifically for the program under ED direction.

Program Operations

The administration of the program is handled through a non-competitive project grant to the Council on Legal Educational Opportunity (CLEO) with no matching requirements. CLEO conducts a nationwide search for candidates to participate in this program. The participants are persons who wish to become lawyers, but have been unable to gain admission to law school under prevailing admissions criteria because of economic disadvantages, marginal academic credentials, or both. Applications are submitted to the CLEO central office where an initial screening process is done.

1/ This program was funded from private sources in 1968-70, and thereafter first by the Office of Economic Opportunity and then in 1974 by the Office of Education under HEA, Title IV, Part D, Section 966. "Such sums as may be necessary" were authorized for appropriation at that time.

Eligible applications are then forwarded to regional panels of law school deans and other educators who make the final selection of students.

The program provides the students with an intensive training session in the summer prior to law school. The intensive pre-law training that the participants receive runs for six weeks and is held at a number of regional institutes. Institute sites are selected in an effort to reflect a broad geographic distribution and to reduce student traveling expenses to the institute. This special preparation is designed to enable CLEO students to perform as well in law school as the traditional law student. After completion of the summer training, the students begin three years of law school where they annually receive a fellowship stipend of $1000. In addition, participating law schools waive the tuition and fees that would normally be charged to these students. Utimately, this program will increase the number of attorneys from economically and educationally disadvantaged backgrounds.

Program Scope:

In the 1980-81 academic year, 210 new students were supported in addition to 340 continuing students. Altogether 2,850 students have participated in the CLEO program which has involved 144 law schools. Table 1 summarizes awards for 1980 and those anticipated for 1981.

Program Effectiveness and Progress:

Since its operation in 1968, the program has experienced a retention rate among its first-year students of about 80 percent, as compared to the 90 percent rate for law students as a whole. Since the program's inception in 1968 through 1979, a total of 2,722 students have successfully completed the summer institute programs, and of these, 2,629 have entered law school. Of the total possible number of eligible graduates at this time, 1,410 or approximately 70 percent have already graduated, a figure which compares reasonably well with the national norm. An additional 605 students have withdrawn from or failed in law school. Available data on students who participated in the legal training for the disadvantaged program from 1968 to 1979 are summarized in Table 2.

Considerable efforts have been made through the program to increase the number of women going to law school. Forty-six percent of the 1979 current participants were females. Similar efforts have been made to attract minorities. Table 3 summarizes the information on the ethnic background of the current participants. As the table indicates, the majority (approximately 54 percent) of participants 1979 were Blacks. However, a large number of ethnic minorities have participated in the program.

The CLEO National Office initiated a comprehensive survey in the summer of 1978 to compile relevant data on the performance of the more than 1,410 program participants during and after their matriculation in law school to assess the Program's impact. To do so, they examined several significant variables; quantifiable law school admission credentials; performance within the academic arena of law school, bar performance, and most importantly, the employment achievements of the Program's graduates. The survey of CLEO graduates' academic academic and bar performance data involved 690 Program Fellows from entering classes of 1968 through 1975, that is, the law graduates of the classes 1971 through 1978. The survey represented a 48.9% response from the total available pool of 1,410 CLEO law school graduates during the time period covered.

The survey revealed that while CLEO fellows mean admission test scores were considerably lower than the National Average (422 compared to 551.9), their academic standing reflects a surprisingly successful record of performance for the period of law school enrollment. Eighty-seven percent of those fellows surveyed were reported to be in gooding standing at the conclusion of the first year, 94.1% in the second year, and 99.6% is the third year.

The survey also found 73.9% (501 of 678 respondents) passed their bar examination by their second attempt. This compares favorably with the national bar passage rate of 74%. This is especially important since the bar examination performance is viewed by many as an essential factor in determining the viability of affirmative admission programs. Given the law admission test scores the CLEO Fellows' bar performance is indeed significant.

Ongoing and Planned Evaluation Studies:

The Education Amendments of 1976 required an annual report on the HEA Title IX programs, including Part D. The first study focused only upon 1978 while the second report, was combined for the years 1979 and 1980. This report requirement was removed in the Higher Education Amendments of 1980.

Sources of Evaluation Data:

Program files, Division of Training and Facilities, Office of Postsecondary Education.

Applied Management Sciences, "A Study of Specific Federally Funded Graduate Education Programs," February 1978.

Council of Legal Education Opportunity, "CLEO Fellows Academic and Bar Performance Data: An Abstract," Summer 1978.

U.S. Department of Education "A Report on Specific Federally Funded Graduate Education Programs 1978 to 1980" (The Secretary's Report to Congress on Title IX of The Higher Education Act of 1965 is amended) January 1981.

Data from Council on Legal Education Opportunity, December 1978.

For further information about program operations,

Contact: Lou Venuto, 245-2347.

For further information about studies of program effectiveness,

Contact: Sal Corrallo, 245-7884.

Table 1

Summary of Awards for CLEO

	1980	1981 Estimate
New Awards - Federal Dollars	$ 210,000	$ 210,000
Number of Students	210	210
Noncompeting Continuations -		
Federal Dollars	$ 340,000	$ 340,000
Number of Students	340	340
Summer Institutes -		
Federal Dollars	$ 210,000	$ 210,000
Number os Institutes	7	7
CLEO - Administrative Costs	$ 240,000	$ 240,000
Total BA	$1,000,000	$1,000,000
Total Students Supported	550	550
Student Stipend	$ 1,000	$ 1,000

Source: Program Files

Table 2

Summary of Information on CLEO Participants 1/

Year Participating in CLEO	# Students Participating	# Completing Summer Institute Successfully	# Entering Law School	# of CLEO Graduates	# Students in Law School Presently Receiving CLEO Aid	# in Law School Not Receiving CLEO Aid	# Withdrawn	# Passing Bar	# Failing Bar
1968	161	151	131	84	0	0	8	69	7
1969	448	444	400	292	2	0	8	176	30
1970	212	197	191	130	0	0	61	83	10
1971	221	210	207	137	0	0	70	61	3
1972	217	213	210	141	0	0	69	55	5
1973	233	229	218	158	0	0	60	53	8
1974	225	225	219	160	0	0	59	53	6
1975	251	244	234	156	0	0	52	46	12
1976	220	216	205	148	6	10	36	2	N/A
1977	220	208	197	N/A	152	2	47	N/A	N/A
1978	217	213	203	N/A	159	7	36	N/A	N/A
1979	224	222	214	N/A	206	7	6	N/A	N/A
TOTAL	2,850	2,722	2,629	1,405	523	26	652	598	81

1/ December 1979 Data Report from Council on Legal Education Opportunity.

Table 3

Ethnic Composition of CLEO Participants in 1979 1/

American Indian	3
Appalachian	2
Asian American	14
Black	301
Black Panamanian	1
Black West Indian	1
Caucasian	10
Chicano	139
Cuban	10
Dominican	1
Filipino	1
Hawaiian	1
Italian American	1
Puerto Rican	52
Spanish Surname	6
Other Groups	5
TOTAL	568

1/ Data obtained from Council on Legal Opportunity

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name

Graduate and Professional Study Program 1/

Legislation	Expiration Date
HEA of 1965, Title IX, Parts A,B,C, and D; as amended by the HEA of 1980, Parts A and B.	September 30, 1981

Funding History:	Year	Authorization 2/	Appropriation
	1981	$110,000,000 2/	$11,000,000 3/
	1982	14,000,000 4/	$11,000,000

Program Goals and Objectives

The overall purpose of this legislation is to provide, through institutions of higher education, a program of grants to assist in making available the benefits of post-baccalaureate education to graduate and professional students who demonstrate financial need. There are two parts to this program: 1) the Institutional Grant Program (Part A) provides Federal financial assistance to enable institutions of higher education to maintain, strengthen, and improvethe quality of graduate and professional programs leading to an advanced degree (other than a medical degree) including public service education and to strengthen undergraduate programs when it is determined that strengthened undergraduate programs will contribute to the purposes of Title IX-A; 2). The Graduate and Professional Fellowship Program (Part B) provides grants to institutions of higher education to support fellowships for graduate and professional study to students who demonstrate financial need. Fellowships are awarded to support students in three categories:

(1) Graduate and Professional Opportunity Fellowships (G*POP) awarded to individuals from groups, particularly minorities and women, who are underrepresented in graduate or professional study;

1/ The Education Amendments (P.L. 96-374) of 1980 provides for a new Part B of Title IX of HEA of 1965. The new Part B voids and replaces the old Part B (Graduate/Professional Education Opportunities Program), Part C (Public Service Fellowships), and Part D (Domestic Mining and Mineral and Mineral Fuel Conservation Fellowships) and reconstitutes them into a single program, Fellowships for Graduate and Professional Study. For information on each program prior to FY 1981 see the ED Annual Evaluation Report for 1981.

2/ Part A is authorized at $50,000,000 while Part B is authorized for $60,000,000. It should be noted that under the consolidated Part B, Section (e), it is required that at least as much money be spent each year on; public service fellowships, mining fellowships and G*POP fellowships as was spent in FY 1979 for each of these categories.

3/ G*POP, $10 million; Public Service, $2 million; Mining program funds were rescinded.

4/ Authorization is for Part B fellowships only. No authorization for Institutional Grants.

(2) Public Service Education Fellowships, awarded to individuals who plan to begin or continue a career in public service;

(3) Domestic Mining and Mineral and Mineral Fuel Conservation Fellowships, awarded to individuals who plan to begin advanced study in domestic mining and mineral and mineral fuel conservation, including oil, gas, coal, oil shale, and uranium.

Program Operations

The Graduate and Professional Study Program is a small discretionary grant program. Awards are made annually on a competitive basis to institutions of higher education who apply directly to the Department of Education. Institutional applications for institutional grant and fellowship monies are reviewed and rated (in accordance with specified criteria for each program) by panels of academic experts chosen from institutions of higher education.

Allocations of fellowships are then made to successful applicant institutions, that in turn, award the fellowships to qualified students. In accordance with the statutory minimum requirement, no grants will be made to any of less than $75,000. The minimum award, however, does not apply where the grant is made to support continuation fellowships only. This requirement was waived completely in the FY 1981 appropriations language.

Eligible college graduates apply for fellowships directly to institutions that have received allocations of fellowships. The student must meet all the institutional eligibility requirements for admission into one of the approved graduate or professional programs for which the institution awards fellowships. In FY 1981, fellowship stipends are awarded based on financial need up to a maximim of $4,500 per 12-month period. An institutional allowance of $3,900 per year is provided for each fellow enrolled in the program. Fellows must be full-time students and ordinarily cannot have the fellowships renewed beyond a 36-month time period.

No set amount is specified for individual institutional grant awards. For applications of substantially equal quality. priority is given projects that strengthen activities that support fellowships funded under Title IX-B. Institutional grants may be used for, but are not limited to, the following: faculty improvement; maintenance and improvement of the quality of graduate or professional programs; needed innovation in graduate and professional programs; and recruitment, retention, counseling, and barrier placement activities.

Program Scope

The first grants were awarded under the new consolidated program in Fiscal Year 1981. Part A funds were available for institutional support only in conjunction with the G*POP fellowships. Those funds were specifically designated to help identify and to place undergraduate students on a competitive basis in the programs which lead to their employment in an appropriate graduate or professional career, and to encourage inter-institutional and community cooperation in such areas as recruitment and retention. Of the $10,000,000 available for G*POP, $227,000 was set-aside for institutional grants under Part A. Approximately 16 institution received awards ranging in size $10,000 to $20,000.

The remainder of the $10,000,000 was awarded to 115 institutions to support 521 new and 664 continuing G*POP fellowships and institutional allowances.

Program Effectiveness and Progress

No formal study of these programs has been undertaken. However, available data from the three fellowship programs indicate that they are well targeted on fellowship recipients. Of the total G*POP population, 51.3 percent are female, 53.4 percent are Black, 21.6 percent are Hispanic, 4.2 percent are Asian-American, and 4.6 percent are Native American. (See Table 1) Seventy percent of the 1980 fellowships were awarded to students enrolled in the Physical Sciences, Engineering and Law.

In the Public Service Program, 128 fellows completed the degree programs and 162 were continuing as students in 1977-78. Of the 1976-77 fellows, 141 secured employment in a public service related position. Twenty-two fellows found employment in unrelated areas usually with profit-making organizatins. The emphasis on educating practitioners is seen in that 155 fellows were reported to have participated in an internships, while only 34 were reported to have engaged in research.

Ongoing and Planned Studies

An Evaluability assessment (EA) of G*POP is currently underway. The EA is expected to produce 1) an agreed-on program description including objectives, activities, and anticipated outcomes, 2) possible measures of program performance, and 3) options for improving the management of and evaluation of the program.

Sources of Data

Program files, Office of Postsecondary Education.

> "Evaluability Assessment of the Graduate Professional Opportunities Program", the American Institutes for Research, Palo Alto, CA, July 1981.
>
> U.S. Department of Education "A Report On Specific Federally Funded Graduate Education Programs 1978 to 1980" (The Secretary's report to Congress on Title IX of the Higher Education Act of 1965 as amended) January 1981.

For further information about program operations,

Contact: Louis Venuto, (202) 245-2347.

For further information about studies of program effectiveness,

Contact: Sal Corrallo, (202) 245-7884.

Table 1

Graduate/Professional Educational Opportunities
1980-1981

Total By Ethnicity

	Black	White	Hispanic	Asian American	Native American	TOTAL
Number of new fellows 1/	126	38	51	10	11	236
Percent of total	53.4%	16.1%	21.6%	4.2%	4.6%	100%
Number of continuation fellows 2/	391	188	130	42	23	774
Percent of total	50.5%	24.2%	16.8%	5.4%	3.0%	100%
Total number of fellows	517	266	181	52	34	1,010
Percent of total number	51.2%	22.4%	17.9%	5.2%	3.4%	100%

Total by Sex

	Female	Male	TOTAL
Number of new fellows	121	115	236
Percent of total	51.3%	48.7%	100%
Number of continuation fellows 2/	439	335	774
Percent of total	51.7%	43.3%	100%
Total number of fellows	560	450	1,010
Percent of total number	55.4%	44.6%	100%

New 1980 Fellowships by Discipline

	Number of Fellowships	Percent of Total
Sciences (physical, biological, earth, and marine)	55	23
Engineering	53	23
Law	35	15
Social sciences	19	8
Health sciences	15	6
Business/accounting	14	6
Architecture/city planning	12	5
Math/computer sci./physics	10	4
Psychology	9	4
Education	7	3
Speech & hearing science	5	2
Journalism	2	1
Total fellowships 1980	236	100%

1/ New fellowships - awards made to students in academic year 1980-81.

2/ Continuation fellows - awards made to students in academic years 1978-79 and 1979-80.

Source: Program Files for FY 1980 Funding

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Fulbright-Hays Act

Legislation:

Mutual Educational and Cultural Exchange Act of 1961. Section 102(b)(6), Public Law 87-256; as amended by Public Law 87-565; Public Law 89-698.

Expiration Date:

None

Funding History:	Year	Authorization	Appropriation
	1964	1/	$ 1,500,000
	1965		1,500,000
	1966		2,000,000
	1967		3,000,000
	1968		3,000,000
	1969		3,000,000
	1970		2,430,000
	1971		830,000
	1972		1,323,000
	1973		1,360,000
	1974		1,360,000
	1975		2,700,000
	1976		2,700,000
	1977		3,000,000
	1978		3,000,000
	1979		3,000,000
	1980		3,000,000
	1981		6,200,000
	1982		3,000,000 (est.)

Program Goals and Objectives:

The purpose of this program is to promote and strengthen the capability of American education in those modern foreign languages, area studies and global issues where there is greatest need to improve American understanding by supporting group projects and fellowships in foreign countries for teachers and prospective teachers of United States schools, colleges, and universities to improve their skill in languages and increase their knowledge of the culture of these countries. The program also supports visits by foreign educators to the United States to improve foreign language training and international and intercultural education in United States schools, colleges and universities.

1/ Indefinite, does not have specific money authorization.

Program Operations:

Programs funded under Section 102(b)(6) of the Fulbright-Hays Act provide opportunities to individuals for first-hand experiences in the locales of their respective specialization areas. Specifically, faculty and doctoral dissertation research fellowships are provided for updating and extending research knowledge, and maintaining and improving language skills. The program also supports group projects abroad for research and training, and curriculum consultant services by foreign educators to improve foreign languages, area studies and intercultural education in U.S. schools and colleges.

Programs for foreign language and area studies funded by this program have four major purposes: (1) to increase the Nation's pool of trained specialists in foreign language and area studies, (2) to provide inservice training to upgrade and update the professional knowledge and skills of specialists in foreign languages area studies, (3) to increase the knowledge about other nations and cultures, particularly those of the non-western world; and (4) develop curricula and instructional materials in foreign language and area studies needed by educational institutions government, and business. Three permanent full-time positions are present provided for the administration of this program: program director, assistant, and secretary.

Program Scope:

The Fiscal Year 1981 appropriation of $6.2 million for this program will support 150 doctoral dissertation research fellowships, 29 group projects abroad, 15 foreign curriculum consultant grants and 49 faculty research fellowships. Ten special bilateral projects with Israel, Italy, Taiwan, Brazil, Korea, the Peoples' Republic of China will also be funded.

Program Effectiveness and Progress:

An early 1970's review of foreign language and area studies programs in the U.S. demonstrated that adequate opportunities for research and study abroad are critical to improving the quality of foreign area specialists' training. Over 85 percent of the specialists included in the survey reported a need to increase opportunities for studying language in its natural setting. While, in absolute terms, there has been substantial growth in the numbers of specialists with some overseas experience, the survey reveals that on the average the depth of experience abroad is inadequate. Furthermore, although, as a group, specialists have studied in a wide range of countries, the research of a majority of the specialists has been clustered in a small number of countries. In brief, a few countries are overstudied, relatively speaking, while a large number are understudied. 1/

1/ Language and Area Studies Review. Richard Lambert (published in August 1973 by the American Academy of Political and Social Science and the Social Science Research Council).

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The Fulbright-Hays programs therefore provide a resource for training specialists in underemphasized areas and for helping improve the caliber of training in foreign language and area studies through research and study abroad.

The Fulbright-Hays program is directly and significantly affected by the dractic changes in exchange rates and international prices that have taken place over the past decade. A staff study analyzed changes in exchange rates, international prices and purchasing power of U.S. dollars. The data show that exchange rates, or the cost of foreign currencies, actually decreased by 2.7 percent during 1971-77. However, price levels abroad increased by 98.6 percent during the same period. The combined effect of these two factors was an 82.7 percent increase in the cost of program operations abroad. This is equivalent to a 10.5 percent annual rate of inflation in foreign countries compared with the 6.7 percent domestic inflation. The Fiscal Year 1977 appropriations purchases only 82.5 percent as much as the Fiscal Year 1974 appropriation. A Fiscal Year 1979 appropriation of at least $4,000,000 would have been necessary in order to fund program operations at the Fiscal Year 1974 level. Recent increases in inflation have aggravated this problem.

Ongoing and Planned Evaluation Studies:

The Fulbright-Hays programs are being examined in light of the recommendations made by the President's Commission of Foreign Language and International Studies. These recommendations, which are included in the Commission's report entitled Strenghth Through Wisdom, call for significant increases in foreign language instruction and international education programming in the United States.

Sources of Evaluation Data:

Program Data. Information collected in other reports listed under Title VI of the National Defense Education Act is also relevant for the Fulbright-Hays Program.

Language and Area Studies Review, Richard D. Lambert, (published in August 1973 by the American Academy of Political and Social Science and the Social Science Research Council).

Changes in Purchasing Power of International Education Appropriations, Technical Paper, Office of Planning; Budgeting, and Evaluation, U.S. Department of Education, September 1978.

Strength Through Wisdom: A Critique of U.S. Capability, a Report to the President by the President's Commission on Foreign Language and International Studies, Government Printing Office, Washington, D.C. 1979.

FOREIGN AREA AND LANGUAGE TRAINING

Grants Awarded; By Country and Area: FY 1964 - 79 and FY 1980[1]

AREA AND COUNTRY	GRANTS TO U.S. CITIZENS						Grants to Foreign Nationals		U.S. and Foreign Totals	
	Doctoral Dissertation Research		Faculty Research		Group Projects[2]		Curriculum Consultants			
	FY 64-79	FY 80	FY 64-79	FY 80	FY 64-79	FY 80	FY 64-79	FY 80	FY 64-79	FY 80
Africa	220	15	40	2	1,073(55)	41(3)	54	5	1,481	63
Latin America	301	12	81	2	633(30)	32(2)	74	-	1,113	44
East Asia & Pacific	453	23	165	6	1,298(54)	102(5)	32	2	2,002	133
Western Europe	65	5	116	-	383(19)	-	41	1	733	8
Eastern Europe	315	8	297	9	1,936(74)	230(2)	19	2	2,435	249
Near East and South Asia	402	16	194	5	4,873(246)	204(15)	39	2	5,485	224
Multi-Country [3]	186	-	69	-	-	-	-	-	-	-
World Total	1,942	79	962	24	10,196(478)	609(27)	259	12	13,178	721

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[1] All 1980 figures are for grants or funds obligated through September 30, 1980 for the 1980-81 academic year.

[2] Figures in parenthesis indicate the number of group projects and seminars funded.

[3] Statistics based on multi-country research were replaced by statistics based on "major host country" in mid 1970's.

FOREIGN AREA AND LANGUAGE TRAINING PROGRAM

U.S. CITIZENS

Doctoral Dissertation Research Abroad awards, 1980-81	79
Number of countries they went to	40
Number of all Doctoral Dissertation Research awards, 1964-80 inclusive	2,021
Faculty Research Abroad awards 1980-81	24
Number of countries they went to	17
Number of all Faculty Research Abroad awards, 1964-80 inclusive	881
Group Projects Abroad participants, 1980-81	609
Number of countries they went to	14
Number of projects supported	27
Number of all Group Projects Abroad participants, 1964-80 inclusive	10,805

FOREIGN NATIONALS

Curriculum Consultant awards, 1980-81	12
Number of countries they came from	12
Number of all grants to curriculum consultants 1964-80 inclusive	271
COST OF PROGRAM	2,513,838

The following is a breakdown of expenditures by program:

	Fulbright-Hays dollars	P.L. 480 foreign currency	Total
Doctoral Dissertation Research Abroad	1,201,535	-	1,201,535
Faculty Research Abroad	295,094	-	295,094
Group Projects Abroad	862,368	817,183	1,679,551
Foreign Curriculum Consultants	154,841	-	154,841
TOTAL	2,513,838	817,183	3,331,021

EXCHANGES BY AREA
(Number of new grants awarded, 1980-81)[1]

	U.S. grantees to	Foreign grantees from
Africa	58	5
Latin America	46	-
East Asia and Pacific	131	2
Western Europe	5	1
Eastern Europe	247	2
Near East and South Asia	225	2
TOTAL	712	12

[1] All 1980 figures are for grants or funds obligated through September 30, 1980 for the 1980-81 academic year.

For further information about program operations,

Contact: Dr. Richard T. Thompson, 245-2556.

For further information about studies of program effectiveness,

Contact: Robert H. Berls, 245-7884.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Language Training and Area Studies

Legislation:	**Expiration Date:**
National Defense Education Act of 1958 Title VI; Public Law 85-864; as amended by Public Law 87-344; as amended by Public Law 88-210; Public Law 88-665; by Public Law 89-698; Public Law 90-575; Public Law 92-318; Public Law 94-482; Public Law 95-43, Public Law 94-482; transferred to Title VI of the Higher Education Act by Public Law 96-374.	September 30, 1985

Funding History:	Year	Authorization	Appropriation
	1959	$ 8,000,000	$ 3,416,000
	1960	8,000,000	7,300,000
	1961	8,000,000	6,554,000
	1962	8,000,000	8,000,000
	1963	8,000,000	7,970,000
	1964	8,000,000	8,000,000
	1965	13,000,000	13,000,000
	1966	14,000,000	14,000,000
	1967	16,000,000	15,800,000
	1968	18,000,000	15,700,000
	1969	16,050,000	15,450,000
	1970	30,000,000	13,002,000
	1971	38,500,000	7,170,000
	1972	38,500,000	13,940,000
	1973	50,000,000	12,500,000
	1974	75,000,000	11,333,000
	1975	75,000,000	11,300,000
	1976	75,000,000	13,300,000
	1977	75,000,000	14,650,000
	1978	75,000,000	15,000,000
	1979	75,000,000	17,000,000
	1980	75,000,000	17,000,000
	1981	730,600,000	21,800,000 (est.)
	1982	30,600,000	17,000,000 (est.)

Program Goals and Objectives

The goal of this program is to support programs and activities that develop the knowledge and skills of U.S. students and scholars in modern foreign languages and area studies, particularly with regard to the lesser known non-Western areas of the world. The program awards grants and contracts for advanced international studies centers, fellowships, exemplary programs, research, and international understanding projects. Specifically, the Education Department funds programs to: strengthen U.S. institutions' teaching, research and dissemination activities in modern foreign languages and area international studies; increase the understanding of the U.S. business and legal communities, Federal, State and local government and all U.S. citizens about the cultures, actions, and policies of other nations and increase and strengthen the pool of trained international specialists who constitute an important national resource in the conduct of foreign affairs. Four major programs are supported under Title VI of the Higher Education Act. In addition, one international education program is authorized under the Elementary and Secondary Education Act.

-- Advanced International Study Centers: Grants are awarded on a two or three year cycle to institutions of higher education, or consortia of such institutions, to establish and operate centers which contribute significantly to the national interest through advanced research and training, by employing scholars in disciplines related to a geographic concentration, and by maintaining important library collections. Continuation awards are based on the availability of funds. Centers focusing on a single world area offer instruction in two or more of that area's principal languages, as well as in other disciplines, in order to assist in the development of expertise in that particular world area. Awards are made in each world area category to centers having a combination of graduate and undergraduate instruction, as well as to those offering only undergraduate training.

-- Undergraduate International Foreign Language and Area Studies: Grants are awarded on a twoyear cycle to institutions of higher education, or on a three-year cycle to consortia of such institutions, to establish instructional programs in international studies at the graduate and undergraduate levels. Programs must be global or multi-area in instructional coverage.

-- Foreign Language and Area Studies Fellowships Program: Academic-year fellowships are awarded for graduate students in modern foreign languages and area studies. In addition, intensive summer language training fellowships are funded. The grants are made to institutions of higher education.

-- Research: Grants are awarded to institutions of higher education, organizations, and individuals to support surveys and studies to determine the need for increased or improved instruction in modern foreign languages, and area and international studies, or to develop more effective methods or specialized materials for such training.

International Understanding Program (formerly Citizen Education for International Understanding program): The Education Amendments of 1980 place the authorization for this program under Title III of the Elmentary and Secondary Education Act. Grants are awarded to public and private agencies and organizations to support educational projects that increase the understanding of U.S. students about the cultures, actions and interconnections of nations and people. Such projects may provide for in-service training for teachers and other educational personnel, for the compilation of existing information and resources, and for dissemination activities, for developing materials to link language learning to international studies, and for the introduction by a local education agency of instruction in foreign languages Priorities may be set in this program each year.

Program Operations

The programs are discretionary grants and forward funded. All new proposals are reviewed by non-Federal readers who make recommendations to the Department of Education, which makes the final selection of grant recipients. Grants under the Centers, International Studies, and Research programs may exceed 12 months.

This program was first funded in 1959. Since that time, more than $270,000,000 in appropriated funds has been used to support a variety of activities to strengthen and improve this country's foreign language and international studies capabilities and has contributed to an increased awareness of international issues among the American people.

Program Scope

In FY 1981, 90 Advanced Centers will be supported in the first year of a two-year award cycle at an average cost of $116,665. Approximately 700 FLAS fellowships will be awarded at an increased amount of $7,980 each. Intensive summer language training fellowships will be increased to 205 at an average of $2,500 each. The undergraduate international studies programs will be increased from FY 1980 to 33 new and 12 continuing at an average cost from $40,000 to $80,000. The research program will make 25 grants at $40,000 average cost each. The Citizen Grants for International. Understanding Program will make 36 awards at an average cost of $55,555.

Program Effectiveness and Progress

An early 1970's review of foreign language and area studies programs in the U.S. (based on a sample of 13,000 foreign language and area studies specialists, of whom about 10,000 are college or university faculty members) has provided data on the impact of the NDEA program. A sampling of previous holders of NDEA VI fellowships showed that almost all (89.1%) of the fellows used their foreign area training in their first job. Of the Ph.D. graduates, 99% were employed as language and world area specialists. The survey also indicates that the existing pool of specialists needs more focused development in certain aspects in order to achieve an upgrading of language skills. Of the world area specialists surveyed, only 25% reported that they can easily speak, read, and write a language of their area. A major factor in acquiring and maintaining proficiency in foreign languages is the opportunity to utilize the language in a country where it is in regular use.

Studies on international and intercultural education and new curricula and instructional materials are intended for use in schools and colleges throughout the U.S. The impact of this program is suggested by a materials utilization survey which provides specific data on instructional materials for 50 different languages in 82 foreign language and area studies programs. Results of the survey show, for example, that of 24 respondent institutions engaged in teaching Chinese, 21, or 88 percent, were using materials produced under Title VI support; of 17 programs offering instruction in Hindi, 100 percent were using National Defense Education materials; and 6 out of 7 Arabic programs similarly reported utilization of Title VI supported materials.

The Comptroller General reported to the Congress in 1978 on the study of foreign languages and related areas. The report notes that recipients of Title VI program funds believe the Federal program administration to be fair and effective, and that the Federal program managers have made important improvements in the programs in the past several years.

At the time of the Comptroller General report, priorities for determining language and area studies fellowship grants were still based on data gathered in the late 1960's and early 1970's. The report observed that since national needs in foreign language and area studies is difficult to determine it could not be known whether the greatest national needs were being met.

In the 1981 competition the formal priorities were dropped in favor of supporting institutions where 3-year records showed successful placement of students.

The Comptroller General's report concluded that additional administrative improvements were needed. The report recommended that Title VI program staff:

> Visit at least once every two years each of the 80 centers at institutions of higher education receiving Title VI grants.
>
> Prepare and distribute to center officials and other appropriate parties a biannual report containing helpful "lessons learned" as gleaned from the reports submitted by each center to the Department of Education and visits to centers by staff members of the Department.
>
> Provide feedback reports to the centers at least once a year on their reports to the Department of Education.
>
> Develop a system to evaluate the effectiveness of the program providing starter grants to new international studies projects.

The President's Commission on Foreign Language and International Studies concluded in their recent report that "it will take a major, sustained national effort to raise American competence in foreign languages to levels commensurate with our nation's needs." The Commission also asserted that "international studies and language training programs are shrinking" while at the same time, "our needs for such training are intensifying." The Commission's report arrayed a host of recommendations intended to counter such declines and to increase national competency in foreign languages and international studies.

The Rand Corporation, in its report prepared for the President's Commission, presented findings that in some areas support the President's Commission conclusions but diverge in other areas. The findings from the Rand report that are most pertinent to the Language Training and Area Studies program are as follows:

- o Study of all languages at colleges and universities has declined about 10 percent since the 1960s, while the study of uncommon languages has doubled in the past decade to a level of 60,000 students enrolled in in college and university courses.

- o The number of Ph.D.s awarded in area studies has been stable (with some recent evidence of declining Ph.D. degree enrollment); the quantity of M.A.s has been increasing.

- o It has become harder to place Ph.D. graduates in recent years, except for those in economics, law, sociology, business, and other professional skills. M.A. placement has been somewhat easier, particularly for graduates of general schools of international affairs. There is also potential demand for specialists in such emerging international fields as demography, energy, and the environment.

- o In other fields there is excess supply, brought about by the saturation of the academic job market, but the numbers of graduates have declined very little in response to fewer job openings.

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- The decline in demand is not likely to be compensated for by government or business employment, and may imply the need for curtailing admissions unless new sources of demand appear or extisting ones are expanded.
- Title VI fellowship funds should not be used to stimulate general levels of supply, but should be allocated selectively to produce specialized skills, higher levels of competence, and needed skill-mixes.

The Rand report also posited a series of perceived needs in the program area:

- The universities face a special problem in supporting specialists in rare languages and the more exotic areas of the world. The demand for their services is small, but subject to urgent demand from government in times of crisis.
- Increased fellowship funds for foreign study and research, and adequate released time for faculty;
- Acquisition of special library materials, which has been impeded by the loss of Ford Foundation funding and by mounting costs of processing;
- Maintenance of national research, exchange and training centers, such as The International Research and Exchanges Board (IREX) and the American Research Center in Egypt;
- Better training in spoken foreign languages, particularly for use in business, government and personal contacts.

The Rand Corporation is currently conducting a two-phased evaluation of the Foreign Language and Area Studies Program. The purpose of the phase one report will be to analyze program management and identify selected activities that maximize program efficiency.

Preliminary findings by sub-program area include:

Centers

- Define potential grant recipients more flexibly.
- Improve center linkages with professional schools.
- Define center outreach requirements more flexibly.
- Require more thorough staff site visits; clarify panel review criteria, and intensify attempts to recruit major scholars for review panels.

Summary of Awards

	1980	1981 (est.)
ADVANCED NATIONAL CENTERS		
No. of centers	85	90
Avg. cost per center	$ 94,550	$ 116,670
Centers	$ 8,037,000	$10,500,000
FOREIGN LANGUAGE AND AREA STUDIES FELLOWSHIPS		
No. of fellowships	765	700
Average cost	$ 5,960	$ 7,980
Fellowships	$ 4,558,500	$ 5,588,000
INTENSIVE SUMMER LANGUAGE TRAINING FELLOWSHIPS		
No. of fellowships	161	205
Average cost	$ 1,500	$ 2,500
Summer Fellowships	$ 241,000	$ 512,000
GRADUATE INTERNATIONAL STUDIES PROGRAMS		
No. of programs	7	---
Average cost	$ 37,325	---
Graduate Programs	$ 261,300	---
UNDERGRADUATE AND CONSORTIUM INTERNATIONAL STUDIES PROGRAMS		
No. of new programs	12	33
No. of continuation programs	14	12
Range of awards	$ 35-70,000	$ 40-80,000
Undergraduate Programs	$ 1,016,500	$ 2,000,000
RESEARCH PROGRAM		
No. of awards	26	30
Average cost	$ 34,065	$ 40,000
Research Program	$ 885,700	$ 1,200,000
INTERNATIONAL UNDERSTANDING		
No. of awards	36	36
Average cost	$ 55,555	$ 55,555
International Understanding	$ 2,000,000	$ 2,000,000
TOTAL all programs	$17,000,000	$21,800,000

SOURCE: Program Files

Fellowship Program

- o Determine employment trends of fellowship recipients and evaluate the match between training and employment.
- o Establish a protected competition for advanced students in the professions and high-demand disciplines.
- o Establish mid-career sabbatic awards to maintain and improve skills.

Graduate and Undergraduate Studies Program

- o Forty-two percent of these seed-money projects were found to be continued by the sponsoring institution after Federal funds were discontinued. This is a much higher rate than that of many other Federal programs using a seed-money strategy.
  - o Successful seed-money projects should be identified and placed in the National Diffusion Network; or other money could be set-aside for dissemination.

The second phase of this study, to be completed in mid-1982, will analyze supply and demand trends for foreign language and area studies graduates, and assess the relationships between employment and program-supported training.

Ongoing and Planned Evaluation Studies:

Evaluation of the Foreign Language Training and Area Studies Program, Rand Corporation, Santa Monica, California. The evaluation is scheduled for completion in mid-1982. The exploratory evaluation part of this study (phase one) should be available in summer 1981. The study seeks to improve the program's objectives and procedures and to provide a means to better allocate program funds by world areas and languages.

Sources of Evaluation Data:

Language and Area Studies Review, Richard D. Lambert (published in August 1973 by the American Academy of Political and Social Science and the Social Science Research Council).

Comptroller General of the U.S., Study of Foreign Languages and Related Areas: Federal Support, Administration, Need. September 13, 1978, Washington, D.C.

Foreign Language and International Studies Specialists: The Marketplace and National Policy. (A report for the President's Commission on Foreign Language and International Studies.) Sue E. Berryman, Paul F. Langer, John Pincus, and Richard H. Solomon (Santa Monica, California: The Rand Corporation, September 1979).

Strength Through Wisdom: A Critique of U.S. Capability. A Report to the President from the Presidents Commission on Foreign Language and International Studies. Government Printing Office, Washington, D.C. 1979.

Evaluation of the Foreign Language Training and Area Studies Program, Phase one, Rand Corporation, Santa Monica, California. (Draft final report).

Program Files, Office of Postsecondary Education.

For further information about program operations,

Contact: Richard T. Thompson, 245-2356.

For further information about studies of program effectiveness,

Contact: Robert H. Berls, 245-7884.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Cooperative Education Program

Legislation:	Expiration Date:
Authorization: Higher Education Act of 1965 (Title VIII), Public Law 89-329, as amended by Public Law 90-575, October 16, 1968; and Public Law 92-318, June 23, 1972; and Public Law 94-482, October 12, 1976, and Public Law 96-374, October 3, 1980.	September 30, 1985

Funding History:

Year	Authorization	Appropriation
1970	1/	$ 1,540,000
1971	1/	1,600,000
1972	$10,750,000	1,700,000
1973	10,750,000	10,750,000
1974	10,750,000	10,750,000
1975	10,750,000	10,750,000
1976	14,000,000	10,750,000
1977	16,500,000	12,250,000
1978	22,500,000	15,000,000
1979	28,000,000	15,000,000
1980	28,000,000	15,000,000
1981	35,000,000	23,000,000
1982	20,000,000	23,000,000

Program Goals and Objectives

To stimulate the development of cooperative education programs, discretionary grants are provided to institutions of higher education combinations of such institutions and in some circumstances, public on private nonprofit agencies or organizations. Cooperative Education programs are developed in conjunction with public and private employers to provide work experiences for students either concurrent or alternating with periods of academic study. Work experience relate to a student's career or academic objectives and also provide earnings which a student may use to help meet the costs of postsecondary education.

Four categories of grants are provided:

1. Administration grants - projects, generally focusing on a single department or cluster of departments in an institution of higher education, to develop and carry out cooperative education programs and to strengthen and expand linkages with employers (and local high school cooperative education programs.)

2. Demonstration and exploration grants - large projects to help institutions plan and initiate institution-wide cooperative educational approaches to postsecondary programs of study.

3. Research grants - projects to collect, study and disseminate information on cooperative education programs and practices.

4. Training grants - projects to provide program directors, faculty and professionals in business with information on how to administer and expand their cooperative education programs.

Program Operations

Under Section 802 of Title VIII administration grants are awarded to institutions individual units of an institution are eligible for a maximum of five years of support. An award to an individual institution may not exceed $325,000 in any one year. In the case of a consortium of institutions, the maximum award in one year is $250,000 times the number of institutions in the consortium. Further restrictions on amount of awards are: (1) the first year's grant for a unit may not exceed 100 percent of total administrative costs of the project, (2) the second year's grant for a unit may not exceed 90 percent of such cost, (3) the third year's grant for a unit may not exceed 80 percent of such cost, (4) the fourth year's grant for a unit may not exceed 60 percent of such cost, and (5) the fifth year's grant for a unit may not exceed 30 percent of such cost. Funds may not be used as compensation for student employment. Salaries and other administrative expenses for cooperative education administrators are payable from grant funds.

Institutions receiving second, third, fourth, and fifth year administration grants for specific individual units are required to provide 10, 20, 40, and 70 percent of administration costs for those respective years. In addition, program regulations require each administration grant recipient to spend during the grant year not less than it spent for cooperative education during the previous fiscal year in which it received program funds.

An institution of higher education is responsible for assigning the student to a job relevant to his academic program and providing supervision during the work period. The institution evaluates, with employer input, the student's job performance and in most cases awards academic credit for the work experience. Cooperative education is an academic program and credit is recorded on the transcript.

Under Section 803 of Title VIII, grants are made to institutions of higher education and other non-profit organizations to conduct workshops and other learning activities, to train persons in the planning, establishing, administration, and coordination of cooperative education programs.

Under Section 803 of Title VIII, grants are also made to non-profit organizations and higher education institutions to conduct research into methods of developing, improving, and promoting the use of programs of cooperative education in institutions of higher education.

In Fiscal Year 1979, grants were made for the first time for large, comprehensive co-op projects ED's Cooperative Education Program administer Cooperative Education projects funded by the Secretary to demonstrate or explore the education programs which expand student enrollment and discover more effective structures for developing school-wide programs. Successful projects will save as examples to similar schools of the most beneficial approach for providing a cooperative education program at all collegiate levels open to students in all fields.

Program Scope

In 1970, there were only 195 cooperative education programs in the country. By 1979, the number of institutions which conducted cooperative education programs grew to 1049, which amounts to about one-third of the nation's institutions of higher education. Over three-fourths of the 1,040 Co-op colleges and universities offering cooperative education have received Federal grant support. During the ten-year funding history of this program, fifty percent of the applicants have been successful in obtaining grants.

In Fiscal Year 1980, 544 proposals were submitted. They requested $48,974,036. With an appropriation of $15 million in 1980, 251 administration grants (total of $11,999,284), 14 training grants (total of $787,020), 4 research grants (total of $212,980), and 3 demonstration grants (total of $2,000,000) were awarded to a total of 272 institutions. Forty-three percent of the grants (worth $5,078,048) went to two - year colleges and 57 percent of the grants (worth $6,921,236) went to four - year colleges. (See Table 1 for more details)

In Fiscal Year 1981 with an appropriation of $23,000,000, a total of 235 grants were made. As Table 2 indicates, the average cost for projects in all catagories increased. Also demonstration grants tripled 3 to 9, with the mean award increasing to $1,000,000.

Program Effectiveness and Progress

In 1977, a nationwide study of cooperative education was completed which compared cooperative education students and graduates with students and graduates in the same academic field who had not, participated cooperative education programs.

Selected findings of the study were:

- Co-op students perceived that their job skills improved as they advanced through their undergraduate programs and approached graduation. Those students had a more specific sense of their career objectives than did students who had no cooperative education experience.

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Table 1

COOPERATIVE EDUCATION PROGRAM
Summary of Funding History

Applications and Awards, 1978, 1979, and 1980

A. Applications Received	1978	1979	1980
TOTAL	586	606	544
Administration	547	545	468
Demonstration	---	19	43
Research	19	19	10
Training	20	23	23
B. Funds Requested			
TOTAL	$31,510,056	$33,429,514	$48,974,036
Administration	29,138,883	29,123,943	28,052,743
Demonstration	---	1,961,940	18,549,167
Research	906,814	878,017	503,378
Training	1,464,359	1,465,614	1,868,748
C. Application Approved			
TOTAL	315 (53.8%)	286 (47.2%)	272 (50.0%)
Administration	293 (53.6%)	256 (47.0%)	251 (54.0%)
Demonstration	---	8 (26.3%)	3 (7.0%)
Research	6 (30.0%)	5 (26.3%)	4 (40.0%)
Training	16 (80.0%)	17 (73.9%)	14 (61.0%)
D. Funds Obligated			
TOTAL	$14,934,708	$14,980,960	$14,999,284
Administration	13,645,050	12,517,431	11,999,284
Demonstration	---	1,020,685	2,000,000
Research	320,000	278,133	212,980
Training	969,658	1,164,711	787,020
E. Average Size of Grant			
Administration	$ 46,570	$ 48,896	$ 47,806
Training	60,604	68,512	56,216
Research	53,333	55,626	53,245
Demonstration	---	127,586	666,667

Table 2

Summary of Awards

	1980	1981
Administration		
No. projects	251	210
Average cost	$ 47,800	$ 62,000
Total cost	$12,000,000	$13,000,000
Demonstration		
No. projects	3	12
Average cost	$ 666,667	$ 720,000
Total cost	$ 2,000,000	$ 9,000,000
Research		
No. projects	4	5
Average cost	$ 53,000	$ 40,000
Total cost	$ 213,000	$ 200,000
Training		
No. projects	14	8
Average cost	$ 56,200	$ 100,000
Total cost	$ 787,000	$ 800,000
Total budget authority	$15,000,000	$23,000,000

- Among graduates, the findings showed that cooperative education participants had a more direct relationship between college major and full-time after-graduation employment, and current job and career plans, than did graduates who had not participated in cooperative education.

- For the majority of students and institutional personnel, the financial assistance aspect of cooperative education was secondary to its educational potential. For the remainder paramount importance in their decision to enroll in cooperative education. It was very important to even larger proportions of certain subgroups within the student sample, specifically minority groups and economically disadvantaged students.

- Estimated lifetime financial returns to students were greater for those students who participated in cooperative education, even when it required an additional year of schooling.

- Additional costs experienced by employers in hiring cooperative education students compared to their regular employees were small. The only appreciably greater costs were the one time start-up costs and costs assigned to the evaluation of Co-op students. On the other hand, benefits included greater student productivity and the ability of employers to recruit future full-time employees at reduced cost.

- In a period of about six years, cooperative education grants have been very effective in increasing the number of cooperative education programs (from approximately 300 to over 1,000), but apparently have had little influence on the nature and structure of the programs.

- Overall, grants absorbed approximately 55 percent of the institutional costs of developing and maintaining programs of cooperative education.

- Lack of understanding of and information about cooperative education were commonly given reasons for non-participation in Cooperative Education by students, institutions, and employers.

More recently an exploratory evaluation was completed. Concerned primarily with program direction and management, the study found that:

- program managers and policymakers at the Federal level basically agree about the objectives of the program and the strategy for achieving these objectives through the distribution of seed money.

- Project operators in the field understand and agree with the Federal program objectives.

- Those aspects of the program relating to the grant award process, have measurable objectives and are well-documented; therefore, the achievement of short-range or management objectives can be measured.

- Long-range program goals relating to the ultimate impact of Federal financial support, has not been clearly specified making it difficult to measure performance at the institutional or national levels.

- Even if long-range program goals or objectives were specified, data from the institutions are not systematically collected or aggregated to document national accomplishments.

- Management and planning practices offer limited Federal direction to grant recipients, thereby impeding the likelihood that the impact of Federal funds can be measured.

To address these findings, a series of management and evaluation options were developed. These options included the development of a regular planning component for the program, the specification of measurable long-range objectives and annual priorities based on an assessment of community needs, revisions to the grant award process to provide more Federal direction to the program, and the establishment of more systematic monitoring of grant recipients. Using this as a base, meetings were held with the community to clarify program definitions, goals, and activities. Both study findings and suggestions from the community were incorporated in program regulations published on December 30, 1980.

Ongoing and Planned Evaluation Studies

None Planned

Sources of Evaluation Date

Program Files, Office of Postsecondary Education.

Applied Management Sciences, "Cooperative Education - A National Assessment." Silver Spring, Maryland 1977.

Applied Management Sciences, "An Evaluability Assessment of Cooperative Education," Silver Spring, Maryland 1980.

For further information about program operations,

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For further information about studies of program effectiveness,

Contact: Sal Corrallo, 245-7884.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name

Education Outreach Programs[1]

Legislation

Higher Education Act 89-329,
as amended by Public Law
96-374, 1980

Expiration Date

September 30, 1985

Funding History:	Year	Authorization	Appropriation
	1981	$20,000,000	$2,200,000[2]
	1982	$ 8,000,000	None Requested

Program Goals and Objectives

The overall goal of the Education Outreach Program is to increase access to postsecondary continuing education programs for adults whose educational needs have been inadequately served.

Program Operations

This program provides grants to States, institutions of higher education, public and private institutions and organizations, business, industry, and labor. Ninety percent of the appropriation is allotted on a formula basis to States having an agreement pursuant to Section 1203 of the Higher Education Act. The formula allots 60 percent of the funds on the basis of the ratio of each State's adult population to the total adult population of all States. Each State, in turn, uses its allotment as follows: (1) 15 to 20 percent for comprehensive planning, with an emphasis on continuing education planning; (2) 12 percent or $50,000, whichever is greater, to develop and provide educational and occupational information and counseling services; and (3) the balance for continuing education grants to institutions and organizations business, industry, and labor, or any combination thereof. The States also may use 5 percent of the funds or $40,000, whichever is greater, of the amount available for continuing education state grants for administration and operation of the continuing education programs. Each State which has entered into an agreement with the Secretary pursuant to Section 1203 receives its allotment, with no State plan or application being required. At the end of the grant period, each State submits a report on the activities conducted with the funds.

[1] The Education Amendments of 1980 redirected and combined three programs formerly authorized separately under the Higher Education Act, namely: the the Community Service and Continuing Education program, the Education Information Centers program, and the State Postsecondary Education Commissions program. For details on these programs see, The Department of Education Annual Evaluation Report for FY 1980.

[2] $15 million was originally appropriated, of which $12.8 million was rescinded by the Congress.

Ten percent of the appropriation is set aside for Federal discretionary grants to institutions of higher education, public and private institutions and organizations, business, industry, labor and States, or any combination thereof. These funds support projects designed to demonstrate the effectiveness of alternative providers and approaches in increasing access to postsecondary continuing education opportunities for underserved adults.

One third of the total program costs under both the State-administered part of the program and the discretionary part of the program must be supported by non-Federal funds.

Program Scope

This program did not operate in FY 1981. The Congress initially appropriated $15 million for this program, but later rescinded $12.8 million. The remaining $2.2 million was made available to those States and Territories which participated in the former Community Service and Continuing Education Program in FY 1980 for administration and close-out of activities supported in prior years.

Program Effectiveness and Progress

The program has never been operative.

Ongoing and Planned Evaluation Studies

None planned

Sources of Evaluation Data

Program files, Office of Postsecondary Education.

For futher information about program operations,

Contact: Charles Griffith, 245-9868.

For further information about studies of program effectiveness,

Contact: Sal Corrallo, 245-7884.

ANNUAL EVALUATION REPORTS ON EDUCATION PROGRAMS

Program Name:

Fund for the Improvement of Postsecondary Education

Legislation:	Expiration Date:
GEPA Part A Sec. 404, Enacted June 23, 1972 P.L. 92-318, Amended October 12, 1976 P.L. 94-482. Enacted as Title X, Higher Education Act, October 3, 1980 P.L. 96-374.	September 30, 1985

Funding History:

Year	Authorization	Appropriation
1973	$ 10,000,000	$ 10,000,000
1974	50,000,000	10,000,000
1975	75,000,000	11,500,000
1976	75,000,000	11,000,000
1977	75,000,000	11,500,000
1978	75,000,000	12,000,000
1979	75,000,000	13,000,000
1980	75,000,000	13,500,000
1981	20,000,000	13,500,000
1982	35,000,000	13,500,000

Program Goals and Objectives

The purpose of the Fund, as set forth in its legislation, is to improve postsecondary educational opportunities by providing assistance to educational institutions and agencies for a broad range of reforms and innovations.

In the authorizing legislation. Congress identified eight broad purposes for which grants and contracts may be awarded. They are:

1) encouraging the reform, innovation, and improvement of postsecondary education and providing equal educational opportunity for all;
2) the creation of institutions and programs involving new paths to career and professional training and new combinations of academic and experiential learning:
3) the establishment of institutions and programs based on the technology of communications;
4) the carrying out in postsecondary educational institutions of changes in internal structure and operations designed to clarify institutional priorities and purposes:
5) the design and introduction of cost-effective methods of instruction and operation:
6) the introduction of institutional reforms designed to expand individual opportunities for entering and re-entering institutions and pursing programs of study tailored to individual needs:

7) the introduction of reforms in graduate education in the structure of academic professions and in the recruitment and retention of faculties: and
8) the creation of new institutions and programs for examining and awarding credentials to individuals, and the introduction of reforms in current institutional practices related there to.

Program Operations

To increase the effectiveness of education beyond high school, the Fund for the Improvement of Postsecondary Education (FIPSE) solicits exemplary, locally-developed improvement proposals. These projects are funded because they address widely-felt problems and opportunities, and have potential for triggering a chain reaction of improvement nationally without sustained Federal involvement.

Fund competitions are characterized by: 1) wide eligibility (colleges, universities, consortia, educational associations, postsecondary agencies, and other organizations with concerns in postsecondary learning can apply), 2) applicant freedom to define the problem and the solution, 3) a 20:1 ratio of preliminary proposals to grants (the Fund supports only the best proposals, and grantees, therefore, also benefit from the prestige attached to the competition), 4) a simple but rigorous review process.

Competitions are designed to attract both experienced and new applicants (35% of the grantees never previously applied for any Federal grant). After submission, proposals are reviewed by people in the postsecondary field (teachers, administrators, students, researchers and others), Fund staff, and State postsecondary commissions. The director is advised by a 15 member National Board in establishing policy and in reviewing grant proposals. Awards are granted for one to three years. Grants usually provide seed money to improve existing programs and services or to initiate new approaches. Other people focus on assessment dissemination, and evaluation activities, for example. The awards are made to those proposals that define a widely-felt need, present an improved strategy for meeting the need and demonstrate the ability to implement that strategy.

Most awards are made through the Comprehensive program, a competition open to action-oriented proposals covering the whole range of postsecondary issues. The Fund also employs targeted competitions, designed to highlight specific national needs and opportunities. Such competitions have in the past stimulated work on competence-based education, improved educational services for disadvantaged youth, and methods for serving adult learners more effectively.

Program Scope

Since being established in 1972, the Fund has supported over 750 projects, totaling $100 million, located in all States and most of the outlying areas.

Table 1 outlines the funding of 1980 program priorities. Grants covered a wide range of activities which is consistent with the Fund's mandate as outlined above.

In FY 1981, 97 new awards and 120 continuing awards are anticipated. New awards and continuing awards will average between $62,000 and $63,000, up slightly from the 1980 average of $57,950. However, over the years postsecondary needs have become more diverse and urgent and program growth has been slow, so grant size has been reduced in order to make some headway on a variety of fronts. The consequences have been 1) lower margins of safety for individual projects, and a 2) decreased Fund ability to cope with issues requiring large grants (e.g. computer-aided instruction telecommunications projects, systematic governance reform, restructuring of major educational institutions). Table 2 outlines these changes. Where the mean new grant size was $92,500 in 1973 it fell to $57,950 in 1980. (Given the change in purchasing power the 1980 award in real dollars is actually considerably lower.)

Table 1

Distribution of Funding for Comprehensive Program Priorities, 1980

	% of 1980 Grants
--Quality Programs for all Postsecondary Students (toward full acceptance and further improvement of programs and services for new learners);	24.8%
--Professional Education and Employment for Women and Minorities (toward better access to programs at the graduate and professional level as well as more equitable employment practices within institutions);	19.8%
--The Full-time Worker as Learner (to generate new programs and services for workers);	9.9%
--Active Modes of Learning (to encourage experimentation with ways to engage and empower learners in various situations);	13.9%
--Focus on Knowledge and Abilities (to assist efforts to renew or alter educational content which is vital and of lasting significance); and	18.8%
--Leadership for New Educational Circumstances (to encourage efforts to clarify educational missions and strengthen institutional management).	12.9%
	100.0%

Source: Program files

Table 2

Funds for the Improvement of Postsecondary Education
Changes in Size of Comprehensive Program Grants

	1973	1977	1980 (new grants)
Average Grant:	$ 92,500	$ 72,500	$ 57,590
Maximum Grant:	375,000	188,616	118,000
% of Grants $100,000+:	31%	19%	9%

	1973	1977	1980
$360-380,000/year	1%		
340-360,000	0%		
320-340,000	2%		
300-320,000	0%		
280-300,000	1%		
260-280,000	0%		
240-260,000	1%		
220-240,000	0%		
200-220,000	5%		
180-200,000	3%	2%	
160-180,000	2%	4%	
140-160,000	6%	3%	
120-140,000	3%	6%	
100-120,000	6%	5%	10%
80-100,000	7%	15%	8%
60- 80,000	9%	22%	35%
40- 60,000	42%	23%	25%
20- 40,000	8%	17%	23%
0- 20,000	2%	4%	1%
TOTAL:	98%*	101%*	102%*

Source: Program Files

* Rounding Errors

Program Effectiveness

Perhaps the most significant indicators of the impact of the Fund is how grants affected the host institution programmatically and whether these activities were adopted by other institutions. Some evidence in this regard is available from a program funded impact study. Based upon interviews with project directors they reported that:

o Funding strategy, based on local initiatives attacking widely-felt problems and opportunities, was an "unqualified success". Of those projects designed to continue locally after the grant ended, 70%

succeeded (a continuation rate several times higher than typical seed grant programs); a majority of the grants have been so successful that they have inspired other institutions to improve also. As a consequence, the evaluators indicated, widespread increases in quality and access have apparently resulted from the Fund's small awards.

- The project's impacts were greater than anticipated in the proposal (68%).
- Over three-fourths of the projects represented a departure for the host institution.
- Over two-thirds improved the general climate for innovation at the host institution.
- 98% reported that the grant had been essential, providing moral support, legitimacy, and visibility. 80% felt the project would either not have begun, or would not have survived without the grant.
- Project directors also reported typically that six other institutions were adapting aspects of their programs; about 70% of project directors reported at least one adaptation.
- 87% of projects were engaging in dissemination (over half had specified this as a grant activity). Grants awarded in 1973-78 period had received an estimated 300,000 requests for information.
- In terms of program content, 81% reported that it increased program cost-effectiveness.
- 33% of Fund projects serve a student population that is over half minority learners. 61% of the projects have minority populations of over one-fifth.
- One-quarter of the student-directed projects served a clientele at least two-thirds female.
- 46& of the projects served a predominantly adult audience.

Based upon the above criteria, Fund impact to date has been impressive.

Ongoing and Planned Studies

The final report of a major external evaluation of the Fund, commissioned by the Department and carried out by the NTS Research Corporation, is due in the Fall of 1981.

Sources of Data

Program Files, Office of Postsecondary Education.

NTS Research Corporation, "An Evaluation of the Fund for Improvement of Postsecondary Education, Vol. 1: Case Studies. Vol. 2: Interim Report." 1980

For further information about program operations:

Contact: Stephen C. Ehrmann, (202) 245-8091.

For further information about studies of program effectiveness:

Contact: Sal Corrallo, (202) 245-7884.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Land-Grant Colleges and Universities

Legislation:	**Expiration Date**
Second Morrill Act of 1890, as amended; 26 Stat. 417; 7 U.S.C 322, 323; Bankhead-Jones Act, as amended; 49 Stat. 439; Public Law 182; 7 U.S.C. 329 as amended Title IX, Sec. 506 Higher Education Amendments of 1972, Sec. 1461 Higher Education Amendments of 1980.	Indefinite

Funding History:

Year	Authorization	Appropriation 1/
1964	$14,500,000	$14,500,000
1965	14,500,000	14,500,000
1966	14,500,000	14,500,000
1967	14,500,000	14,500,000
1968	14,500,000	14,500,000
1969	14,720,000	14,550,000
1970	14,922,000	14,720,000
1971	14,720,000	12,680,000
1972	14,720,000	12,600,000
1973	15,160,000	18,700,000 2/
1974	15,160,000	12,200,000
1975	15,160,000	12,200,000
1976	15,160,000	12,200,000
1977	15,160,000	14,200,000
1978	2,700,000 3/	2,700,000 3/
1979	2,700,000	2,700,000
1980	2,700,000	2,700,000
1981	2,800,000 4/	2,800,000 4/
1982		---

1/ Figures are the sum of permanent appropriation under the Second Morrill Act (i.e., $50,000 for each State and each jurisdiction regarded as a State for the purpose of this Act) and funds annually appropriated under the Bankhead-Jones Act.

2/ This figure includes a one-time appropriation of $6,000,000 for the two newly designated land-grant colleges of the Virgin Islands and Guam. Each jurisdiction received $3,000,000 to be invested in U.S. Government or other safe bonds, with the resulting interest to be used by the land-grant colleges.

3/ In FY 1978, administration of the Bankhead-Jones Act was transferred to the Department of Agriculture by Public Law 95-113. The $2,700,000 administered by the Office of Education is the sum of $50,000 to each of 54 jurisdictions authorized by the Second Morrill Act.

4/ The Education amendments of 1980 established the Community College of American Samoa and the College of Micronesia as land grant colleges, bringing the number of jurisdictions to 56. A one-time grant of $6,000,000, similar to that given to the College of Virgin Islands and Guam in 1973, has not yet been appropriated.

Program Goals and Objectives:

The goal of the land-grant programs is to lend Federal support to the several States, and jurisdictions regarded as States for the purpose of this legislation, for collegiate-level instruction in agriculture and the mechanical arts. In addition, program funds may be used to support instruction in the English language and the various branches of mathematical, physical, natural, and economic sciences. The objective of the Morrill Act of 1862 was to provide public lands to any State that would agree to establish an institution in which programs in agriculture and the mechanical arts would be available to the sons and daughters of working class people. The objective of the Morrill Act of 1890 was to provide funds to those States having a dual school system, with the use of such funds authorized for the establishment of a land-grant college for black persons. Later amendments to the land-grant colleges program were designed to maintain and increase the level of Federal support in continuing the availability of these educational programs for persons whose educational opportunities were limited.

Program Operations:

A land-grant college or university is an institution designated by a State legislature for the benefits of the First Morrill Act of 1862 or the Second Morrill Act of 1890. The original Act provided public land (in the amount of 30,000 acres for each Senator and Representative of a State) in order to ensure the development in each State of at least one institution "to teach such branches of learning as are related to agriculture and the mechanical arts." The Second Morrill Act provided for an appropriation of $25,000 for each State having a land-grant institution. The Nelson Amendment of 1907 doubled these appropriations to $50,000. The Bankhead-Jones Act of 1935 provided for additional support. Puerto Rico was added in 1908; the District of Columbia in 1969; Guam and the Virgin Islands in 1973, and American Samoa and Micronesia in 1980.

In fiscal year 1978, administration of the Bankhead-Jones Act transferred to the Department of Agriculture. The Department of Education administers only the Second Morrill Act, with its $50,000 to each of 56 jurisdictions. Monies are paid directly to State treasurers and, in the event that more than one land-grant institution exists in a State, State legislatures must provide by statute for the division of these monies. Funds may not be used to purchase land, nor may they be applied to the purchase, erection, repair, or preservation of buildings. Each land-grant institution is required to provide annually to the U.S. Department of Education a report on the expenditure of monies received under all land grant appropriations.

Program Scope:

In fiscal Year 1980, $2,800,000 was apportioned among the 56 jurisdictions. Of the 74 land-grant institutions, only Cornell University in Ithaca and the Massachusetts Institute of Technology retain elements of private control. All of the land-grant colleges offer educational programs of more than two years duration. Land-grant institutions now exist in all 50 States, the District of Columbia, Guam, Puerto Rico, Virgin Islands, American Samoa and Micronesia. Sixteen of the land-grant institutions are predominantly black.

A legislative proposal to change Nelson Amendment funding to an annual authorization has been sent to Congress. Under it no funds are requested in 1982. The appropriation is a very minor source of funds for these colleges and universities, which include some of the strongest and most prestigious institutions of learning in the country. The smaller and poorer land-grant institutions, particularly the predominantly black land-grant institutions in the South, will continue to be aided by the Developing Institutions Program (Title III of the Higher Education Act of 1965).

Program Effectiveness:

The land-grant colleges and universities program assists 74 land-grant institutions in meeting and continuing costs of instruction and equipment. Since these grants form a very small part of the institution's recent budgets and the use of land-grant monies is of a discretionary nature, the current impact of these funds is difficult to assess. Nonetheless, abundant historical evidence indicates that the land-grant institutions created by this program have provided the bulk of the techanical expertise which has made the U.S. agricultural sector the most technologically advanced and dynamic in the world.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

Program files, Office of Postsecondary Education.
Division of Facilities and General Support.

For further information about program operations,

Contact: Melvin Fresquez, 245-2806

For further information about program operations,

Contact: Sal Corrallo, 245-7884

Program Name:

College Housing Loans

Legislation:

Housing Act of 1950, Title IV

Expiration Date:

September 30, 1983

Funding History:

Year	Authorization	Appropriation1/
1973	Indefinite	$12,395,000
1974	"	12,946,000
1975	"	14,758,000
1976	"	12,863,000
Transition Quarter		3,607,000
1977		12,640,000
1978	"	10,299,000
1979	"	13,097,000
1980	"	13,645,000
1981	"	1/
1982	"	1/

Program Goals and Objectives

To provide financial assistance to colleges and universities for the construction or purchase of housing and essential housing related facilities, a program of loan assistance has been authorized. Currently, loans are limited to construction which addresses energy conservation, and construction or acquisition of housing for institutions with severe housing shortages.

1/ Excludes permanent indefinite appropriation ($279,000 in FY1981; $232,000 in FY 1982) under "Payment of Participation Sales Insufficiencies" in the Independent Offices Appropriation Act, 1967.

Program Operations

The College Housing Loan program enables the Secretary of Education to make direct Federal loans to higher education institutions at a three percent interest rate. Loans for energy conservation and construction or acquistion of housing for institutions with severe housing shortages are provided from a revolving loan account which consists of funds borrowed from the U.S. Treasury, funds obtained from borrowing through the sale of participation certificates, and interest income and collections from prior loans. The difference in interest owed on past participation certificates which exceeds the interest earned on loans supported by such certificates previously was met by Congressional appriations for insufficiencies. Most of insufficiencies will now be paid from the account's unobligated balance. Collections on past loans replenish the loan fund.

Past loans were made at an interest rate of three percent and have terms of not more than 30 years. Eligible institutions include public or private nonprofit colleges and universities, teaching hospitals, and certain vocational institutions. In past years, applications for loan reservations were received and reviewed in the Department of Housing and Urban Development's headquarters. Loan funds are disbursed to educational institutions during the construction of projects, provided that all of the program prerequisities specified in the loan agreements have been met. In FY 1981, program authority and administrative control shifted to the Department of Education central office.

Program Scope

Table 1 summarizes budget authority and total loan obligations for 1979 and 1980 and estimates for 1981. Table 2 summarizes loan obligations for 1979 and 1980 with estimtes for 1981. Although, gross obligations for the principal amount of direct loans for FY 1981 are limited to $110,000,000 it is expected, when the amount need for participation sales insuffficiences has been deducted from repayment fund about $70-75 million will be available in FY 81 for new loans.

The College Housing Loan Fund is financed by the Federal Financing bank (FFB) and carries a large off-budget cost. The Department of the Treasury and thereby reduce off-budget.

Table 1
A Summary of College Housing Loan Program Appropriations and Total Budget Authority 1979, 1980, and 1981

	1979 Actual	1980 Actual	1981 Estimate
1. Operating expenses:			
Interest expense on participation certificates:			
a. Appropriation.	$ 13,338,000	$ 13,857,000	279,000 1/
b. (Obligations).	(28,810,000)	(28,810,000)	(28,809,000)
2. Interest expense	(66,022,000)	(65,728,000)	(66,605,000)
3. Loan servicing expenses. . .	(223,000)	(211,000)	(211,000)
4. Loan obligations	(58,016,000)	(113,668,000)	(102,259,000)
5. Acquired security and collateral.	(676,000)	(88,000)	(8,000,000)
Total budget authority. . .	$ 13,338,000	$ 13,857,000	279,000 1/
(Obligations)	(153,747,000)	(208,505,000)	(205,884,000)

1/ The 1981 appropriation for this purpose has been rescinded. Funds required to pay participation sales insufficiencies will be taken primarily from the account's unobligated balance.

SOURCE: Program Files

Table 2
College Housing Loans
Amounts Available for Obligation
1979, 1980, and 1981

	1979 Actual	1980 Actual	1981 Estimate
Appropriation:			
Annual (definite).	$ 13,097,000	$13,645,000	$ 279,000
Permanent (indefinite)	241,000	212,000	------
Subtotal, appropriation	13,338,000	13,857,000	$ 279,000
Receipts and reimbursements from:			
Federal funds:			
Investments income from participation sales funds	1,651,000	1,810,000	846,000
Non-Federal source:			
Revenue	94,322,000	94,312,000	95,000,000
Loans repaid	72,405,000	74,471,000	75,000,000
Unobligated balance transferred to participation sales funds	- 618,000	- 272,000	26,244,000
Unobligated balance, start of period:			
Committed	342,886,000	251,557,000	222,752,000
Uncommitted	11,012,000	129,693,000	134,184,000
Unobligated balance, end of period:			
Committed	- 251,556,000	-222,752,000	-147,016,000
Uncommitted	- 129,693,000	-134,184,000	-201,405,000
Total obligations	$ 153,747,000	208,505,000[1]	205,884,000[2]

[1] "A $13,000 recovery of prior year obligations is included in this total but is not itemized."

[2] During fiscal year 1981 and within the resources and authority available, gross obligations for the principal comment of direct loans shall not exceed $110,000,000.

SOURCE: Program Files

Program Effectiveness

During fiscal Year 1980, approximately $85,000,000 in loan commitments supported 66 construction projects.

The Department has budgeted no authority to make new loan commitments for college housing in fiscal year 1982. The Nation is no longer facing rapidly expanding postsecondary enrollments and there is no longer a Federal role in this area.

The funding for this program comes through the Federal Financing Bank (FFB), and the termination of new loan awards will allow the program to begin reducing its debt to the FFB. The off-budget interest costs of this program are estimated to be more than $210 million a year. With the termination of new loans commitments, obligations will soon be limited to the annual interest expense on Treasury borrowings.

Ongoing and Planned Evaluation Studies

A Higher Education Panel Study is currently being conducted which will provide basic information on the condition of college housing and occupancy rates.

Sources of Evaluation Data

Program Files, Office of Postsecondary Education.

For further information about program operations:

Contact: Tom Carr, 245-9514

For further information about studies of program effectiveness:

Contact Sal Corrallo, 245-7884.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Annual Interest Grants

Legislation:

Title VII-C, Section 745 of the Higher Education Facilities Act of 1965; as amended by the Higher Education Amendments of 1972 (formerly Title III, Section 306 of the Higher Education Act of 1963; Public Law 88-204) and Higher Education Amendments of 1980, P.L. 96-374.

Expiration Date:

September 30, 1985

Funding History:	Year	Authorization	Appropriation
	1969	$ 5,000,000	$ 3,920,000
	1970	11,750,000	11,750,000
	1971	25,250,000	21,000,000
	1972	38,750,000	29,010,000
	1973	52,250,000	14,069,000
	1974	65,750,000	31,425,000
	1975	79,250,000	0 1/
	1976	92,750,000	0 1/
	1977	Indefinite	0 1/
	1978	Indefinite	4,000,000
	1979	Indefinite	29,000,000
	1980	Indefinite	29,000,000
	1981	Indefinite	26,000,000
	1982	Indefinite	25,500,000

Program Goals and Objectives:

Annual Interest Grants is one of four programs (which include also Loans for Construction of Academic Facilities, Grants for Construction of Undergraduate Academic Facilities, and Grants for the Construction of Graduate Facilities) 2/ which were designed to help institutions of higher

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1/ No appropriations were requested of funds for continuing grant obligations in FY 1975, FY 1976, or FY 1977. A new accounting procedure was instituted wherein all outstanding obligations were de-obligated so that program obligations will agree contractually with the years in which payments commence under each grant agreement.

2/ New funding for Grants for the Construction of Graduate Facilities and Loans for the Construction of Academic Facilities ceased in 1969 (loans, however, were authorized to the extent that funds became available from cancellation of previous loan commitments). In 1978, at Congressional initiative, two loans totalling $7.2 million were authorized to assist Georgetown University and Tufts University in the construction of two model inter-cultural centers. In addition, Congress appropriated $5 million in grants for the same project under the Title VII-B Graduate Facilities Grant Programs.

education meet a national shortage of facilities. The Annual Interest Grant Program became operational in Fiscal Year 1970 and was designed both to encourage the use of private capital for construction of academic facilities as well as to reduce the interest burden on borrowers to a level commensurate with direct loans for academic facilities.

Program Operations:

Institutions of higher education, cooperative graduate center boards, and higher education building agencies (i.e., State agencies empowered by the State to issue tax-exempt bonds on behalf of private institutions of higher education) eligible to apply for Federal annual interest grant assistance on loans obtained in the private market. Up to 90 percent of the cost of a project has been eligible for loan subsidies over a fixed period which may not exceed 40 years. Subsidy payments commence after either long-term financing arrangements have been consummated or after the project has been completed--whichever is later. Subsidies represent the difference between the interest amounts payable at the commercial rate on the loan and the amount payable at an interest rate of 4 percent. Not more than 12.5 percent of the annual appropriations for this program has been allowed for grants to any one State. Further, the aggregate principal amount of loans (or portions thereof) with respect to which annual interest grant subsidies were approved can not exceed $13.5 million per campus during any Federal fiscal year.

Program priorities focus first upon applications from public community colleges and public techncial institutions, from developing institutions, and for institutions in which enrollments from low-income families were at least 20 percent of the student body. Applications from all other institutions are regarded as a secondary priority. Within these two priority categories, requests were awarded so as to encourage a distribution of funds to those institutions or branch campuses which are in urgent need of additional academic facilities.

Program Scope:

No awards for annual interest grants have been made since FY 1973 and the program is not active Since the program's inception in FY 1970, 711 grants (subsidizing a total loan volume of $1,434,571,000) have been approved. As of the close of FY 1981, 631 of these grants (subsidizing a loan volume of approximately $1.3 billion -- or 89 percent of the total) have are in active pay status. Thirty-three projects have been paid in full, 30 have been terminated and 17 are not yet in pay status.

Federal obligations for subsidies of annual interest grants amounted to $8,000 in FY 1971; $2,105,000 in FY 1972; $6,005,000 in FY 1973; $11,408,000 in FY 1974; $16,657,000 in FY 1975; $18,950,000 in FY 1976; $23,972,217 in FY 1977; $25,733,884 in FY 1978; $25,057,769 in FY 1979; $24,626,106 in FY 1980; and an estimated $26,000,000 in FY 1981. It is anticipated that when the total loan volume comes into active pay status, annual Federal obligations will approximate no more than $29,000,000 and that final payments under this program will extend until roughly 2020.

Of the $1,434,571,000 total subsidized loan volume, $364,595,000 (or 25.4 percent) of the loans were held by two-year institutions and $1,069,976,000 (or 74.6 percent) of the loans are held by four-year colleges and universities.

Program Effectiveness and Progress:

Since the inception of the Higher Education Facilities Act of 1963, the Federal Government has provided financial assistance for the construction or improvement of academic facilities throughout the 55 States and territories. During the period Fiscal Year 1965 through Fiscal Year 1975 almos $2.5 billion in direct Federal grants and loans were awarded. In addition, over $1.4 billion in commerical loans were approved for annual interest subsidy support involving an estimated annual commitment of Federal funds approximating $29 million. Over 1,800 institutions of higher education received financial assistance for the purpose of facilities construction and improvement and some 4,000 facilities costing in excess of $10 billion was constructed.

The large volume of academic facilities of construction supported by this program has met national demand and the program has successfully accomplished its objectives. While certain areas of the country may face temporary shortages of academic space, existing conditions do not constitute a national problem and there is no longer a clear Federal role in this area.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

The Demand for Facilities in the Postsecondary Sector, 1975 to 1990, Joseph Froomkin, Inc., Washington, D.C.; August 15, 1974.

Program files, Office of Postsecondary Education.

For further information about program operations,

Contact: Tom McAnallen, 245-3253

For further information about studies of program effectiveness,

Contact: Sal Corrallo, 245-7884

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Grants for Construction of Undergraduate Academic Facilities

Legislation:	Expiration Date:
Title VII-A of the Higher Education Facilities Act of 1965; (formerly Title I of the HEFA 1963; Public Law 88-204); as amended by Public Law 92-318 as amended by Public Law 94-482 1/; extended by Public Law 96-374.	September 30, 1985

Funding History:	Year	Authorization	Appropriation
	1965	$230,000,000	$230,000,000
	1966	460,000,000	458,000,000
	1967	475,000,000	453,000,000
	1968	728,000,000	400,000,000
	1969	936,000,000	83,000,000
	1970	936,000,000	76,000,000
	1971	936,000,000	43,000,000
	1972	50,000,000	43,000,000
	1973	200,000,000	43,000,000 2/
	1974	300,000,000	0
	1975	300,000,000	0
	1976	300,000,000	0
	1977	300,000,000	0
	1978	300,000,000	0
	1979	300,000,000	0
	1980	300,000,000	3/
	1981	100,000,000	0
	1982		

1/ Public Law 94-482, "Education Amendments of 1976," was passed in September 1976. It authorized Grants for Construction of Undergraduate Academic Facilities until October 1, 1979, and expanded the scope of the program by authorizing grants for reconstruction and renovation projects designed to:

(1) Economize on the use of energy.
(2) Bring facilities into conformance with the Architectural Barriers Act of 1968 (making facilities accessible to the handicapped).
(3) Bring facilities into conformance with health, safety, or environmental protection requirements mandated by Federal, State, or local law.

2/ Funds appropriated in Fiscal Year 1973 were released to the program in May 1974 for obligation during Fiscal Years 1974 and 1975.

3/ Congress appropriated $25,000,000 in Fiscal Year 1980, However, the Supplemental Appropriation and Rescission Act of 1981 P.L. 97-12 rescinded $10,000,000 made available for the program in Fiscal Year 1981. Pub. Law 97-12, enacted June 5, 1981, rescinded the $10,000,000.

Program Goals and Objectives:

Grants for Construction of Undergraduate Academic Facilities is one of four programs (which include also Loans for Construction of Academic Facilities, Annual Interest Grants, and Grants for the Construction of Graduate Facilities) 1/ which were designed to help institutions of higher education meet a national shortage of facilities. The objective of this program is to provide grants to institutions of higher education to finance the construction, rehabilitation, or improvement of undergraduate academic facilities.

Program Operations:

Funds for public community colleges and public technical institutes under this program are allotted to each State by a formula based on the number of high school graduates and per capita income of residents. Funds for other institutions are allotted to each State by a formula based on the number of students enrolled in institutions of higher education and the number of students in grades 9 through 12. Within each State, Federal grants may be awarded for up to 50 percent of the project development cost. Not less than twenty-four percent of funds appropriated under the Title must be reserved for community and technical schools.

Grants are not given for the construction of facilities for which admission is normally charged, for facilities used for sectarian instruction, for facilities for schools of the health professions as defined in the Higher Education Facilities Act, or for residential, dining, and student union facilities.

Program Scope:

No appropriations for new construction projects have been made for this program since FY 1973. However, for FY 1980, Congress appropriated, through the continuing resolution, $25 million for grants for reconstruction and renovation projects for removal of architectural barriers to the handicapped.

1/ With one expection, funding for Grants for the Construction of Graduate Facilities and new funding of Loans for the Construction of Academic Facilities ceased in 1969 (loans were authorized only to the extent that funds became available from cancellation of previous loan commitments). However, in 1978, at Congressional initiative, two loans totalling $7.2 million were authorized from the unobligated balance in the loan fund to assist Georgetown University and Tufts University in the construction of two model inter-cultural centers. In addition to the two loans, Congress apprcpriated $5 million in grants for the same projects under the Title VII-B Graduate Facilities Grant Program.

June 3, 1980 was the deadline for making programs accessible to the handicapped in compliance with the regulations implementing Section 504 the Rehabilitation Act of 1973. A survey conducted by the National Center for Education Statistics in 1979 indicated that the total cost for removal of architectural barriers in compliance with Section 504 at colleges and universities across the country would run approximately $560 million. It was on this basis that the Congress appropriated the $25 million for 1980.

Because this program had been inactive since 1973, and because of complications encountered in preparing regulations, the time required to implement this special program for removal of architectural barriers was greater than originally anticipated. Accordingly, it became apparent that the grants could not be awarded in FY 1980, and the Administration requested Congress to extend the availability of these funds through FY 1981. In the meantime, although steps were being taken to implement this program, the $25 million was included in the President's rescission package as a proposed budget cut for 1980. Although the rescission package was not acted upon, Congresspassed the Supplemental Appropriation and Rescission Act of 1980 which rescinded $15,000,000 of the $25,000,000 and deferred $10,000,000 for use in fiscal year 1981. Public Law 97-12 rescinded.

Program Effectiveness and Progress:

Since the inception of the Higher Education Facilities Act of 1963, the Federal Government has provided financial assistance for the construction or improvement of academic facilities throughout the 55 States and territories. During the period Fiscal Year 1965 through Fiscal Year 1975 almost $2.5 billion in direct Federal grants and loans were awarded. In addition, over $1.4 billion in commerical loans were approved for annual interest subsidy support involving an estimated annual commitment of Federal funds approximating $29 million. Over 1,800 institutions of higher education received financial assistance for the purpose of facilities construction and improvement. Some 4,000 facilities costing in excess of $10 billion will have been constructed.

The large volume of academic facilities of construction supported by this program has met national demand and the program has successfully accomplished its objectives. While certain areas of the country may face temporary shortages of academic space, existing conditions do not constitute a national problem and there is no longer a clear Federal role in this area.

There have not been any comprehensive studies conducted with regard to the overall reconstruction and renovation needs in higher education facilities. However, a special survey was conducted by the National Center for Education Statistics (NCES) in 1979 to assess the costs at colleges and universities of removing architectural barriers to the handicapped in compliance with Section 504 of the Rehabilitation Act of 1973. The survey indicated that institutions were moving ahead to comply with Section 504 without Federal assistance. It also determined that the capital costs required for removing of architectural barriers at most institutions were relatively small relative to total college budgets. Over a three-year period ending in June 1980 (deadline for compliance with Section 504), the estimated cost of removing architectural barriers would represent about three percent of total capital outlays, and only 1/3 of one percent of the total revenues of all the colleges and universities during this period.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

The Demand for Facilities in the Postsecondary Sector, 1975 to 1990, Joseph Froomkin, Inc., Washington, D.C.; August 15, 1974.

The Impact of Section 504 of the Rehabilitation Act of 1973 on American Colleges and Universities, Preliminary Final Report, NCES, May 1979.

Program files, Office of Postsecondary Education.

For further information about program operations,

Contact: Tom McAnallen, 245-3253.

For further information about studies of program effectiveness,

Contact: Sal Corrallo, 245-7884.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Loans for Construction of Academic Facilities

Legislation:	Expiration Date:
Public Law 89-329, Title VII-C of the Higher Education Facilities Act of 1965; as amended by Public Law 92-318 (formerly Title III of the HEFA; Public Law 88-204); as amended by PL. 94-482 1/, PL. 96-49 and 96-374	October 1, 1985

Funding History:	Year	Authorization	Appropriation 2/
	1964	$120,000,000	$ 0
	1965	120,000,000	169,250,000
	1966	120,000,000	110,000,000
	1967	200,000,000	200,000,000
	1968	400,000,000	925,000
	1969	400,000,000	103,275,000
	1970	400,000,000	2,918,000
	1971	400,000,000	2,952,000
	1972	50,000,000	2,961,000
	1973	100,000,000	2,921,000
	1974	150,000,000	2,948,000
	1975	200,000,000	2,701,000
	1976	200,000,000	2,192,000
	Transition Quarter		548,000
	1977	200,000,000	2,119,000
	1978	200,000,000	1,847,000
	1979	200,000,000	2,204,000
	1980	200,000,000	2,189,000
	1981	80,000,000	1,656,000
	1982		

1/ Public Law 94-482, "Education Amendments of 1976," was passed in September 1976. It authorizes "Loans for Construction of Academic Facilities" and expands the scope of the program by authorizing loans for reconstruction and renovation projects designed to:

(1) Economize on the use of energy.
(2) Bring facilities into conformance with the Architectural Barriers Act of 1968 (making facilities accessible to the handicapped).
(3) Bring facilities into conformance with health, safety, or environmental protection requirements mandated by Federal, State, or local law.

2/ Excludes permanent indefinite appropriation under "Payment of Participation Sales Insufficiencies" in the Independent Offices Appropriation Act, 1967.

Program Goals and Objectives:

Loans for Construction of Academic Facilities is one of four programs designed to help institutions of higher education meet a national shortage of facilities. The three related programs are: Annual Interest Grants, Grants for Construction of Undergraduate Academic Facilities, and Grants for the Construction of Graduate Facilities. 1/ The objective of this program has been to help reduce the financial burden on institutions of higher education by making available to their loans with low rates of interest.

Program Operations:

Loans have been awarded pursuant to the following stipulations: (1) that not less than 20 percent of the development cost of the facility be financed from non-Federal sources (this requirement may be waived for schools qualified as developing institutions under HEA Title III), (2) that applicants have been unable to secure the amount of such loan from other sources upon terms and conditions equally as favorable as the terms and conditions applicable to loans under this program, (3) that construction will be undertaken in an economical manner and that it not be of elaborate or extravagant design or materials, and (4) that, in the case of a project to construct an infirmary or other facility designed to provide primarily for outpatient care of students and institutional personnel no financial assistance be provided for such project under Title IV of the Housing Act of 1950.

Loans have been made available to institutions of higher education, to cooperative graduate center boards, and to higher education building agencies (i.e., State agencies empowered by the State to issue tax-exempt bonds on behalf of private institutions of higher education) for the purpose of constructing only academic facilities. Although the law allows for a repayment period of 50 years, loans have normally been made available for 30 years--with exceptions, under certain circumstances, permitting a maximum loan period of 40 years. Interest rates on these loans cannot exceed 3 percent per annum.

Program Scope:

As it was anticipated that this program's objectives could be accomplished under the Annual Interest Grants Program and with the use of private capital no monies have been appropriated for new loans under this program since Fiscal Year 1969. Annual appropriations have been required to fund operating defecits. These defecits occur because the Secretary is required to make interest payments on participation certificates and on Treasury borrowing that exceed repayments from low interest loans to institutions.

Since Fiscal Year 1970, this program has been authorized to make new loans to the extent that funds became available through the termination

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1/ Funding of Grants for Construction of Graduate Facilities ceased in 1969. However, in FY 1978 $5 million was appropriated for grants for two model intercultural centers at Georgetown and Tufts Universities. Funding for Grants for Construction of Undergraduate Facilities ceased in 1973. No new awards for Annual Interest Grants have been made since FY 1973.

(primarily through withdrawal) of prior-year loan commitments. During Fiscal Year 1975, the remaining funds released through cancellation of prior loans were approved for new loan commitments. However, in 1978, at Congressional initiative, two loans totalling $7.2 million were authorized from the unobligated balance in the loan fund to assist Georgetown University and Tufts University in the construction of two model intercultural centers. In addition to the two loans, Congress appropriated $5 million in grants for the same projects under the Title VII-B Graduate Facilities Grant Program. In 1981 Congress specifically authorized two additional loans totalling $25 million, from unobligated balances in the loan fund, to assist Boston College in the construction of a new library and to provide a loan increase to Georgetown University in connection with the model intercultural center project initiated in 1978. With the exception of these special projects, this program has been inactive in terms of new loan approvals since 1975.

Program Effectiveness and Progress:

Since the inception of the Higher Education Facilities Act of 1963, the Federal Government has provided financial assistance for the construction or improvement of academic facilities throughout the 50 States and the territories. During the period Fiscal Year 1965 through Fiscal Year 1976 almost $2.5 billion in direct Federal grants and loans were awarded. In addition, over $1.4 billion in commerical loans were approved for annual interest subsidy support requiring an estimated annual commitment of Federal funds approximating $25 million. Over 1,800 institutions of higher education received financial assistance for the purpose of facilities construction and improvement and some 4,000 facilities costing in excess of $10 billion will have been constructed.

The large volume of academic facilities of construction supported by this program has met national demand and the program has successfully accomplished its objectives. While certain areas of the country may face temporary shortages of academic space, existing conditions do not constitute a national problem and there is no longer a clear Federal role in this area.

There have not been any comprehensive studies conducted with regard to the overall reconstruction and renovation needs in higher education facilities. However, a special survey was conducted by the National Center for Education Statistics (NCES) in 1979 to assess the costs at colleges and universities of removing architectural barriers to the handicapped in compliance with Section 504 of the Rehabilitation Act of 1973. The surveys indicated that institutions were moving ahead to comply with Section 504 without Federal assistance. It was also determined that the capital costs required for removing of architectural barriers at most institutions were small relative to total college budgets. Over a three-year period ending in June 1980 (deadline for compliance with Section 504), the estimated cost of removing architectual barriers would represent about three percent of total capital outlays, and only 1/3 of one percent of the total revenues of all the colleges and universities during this period.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

The Demand for Facilities in the Postsecondary Sector, 1975 to 1990, Joseph Froomkin, Inc., Washington, D.C.: August 15, 1974.

The Impact of Section 504 of the Rehabilitation Act of 1973 on American Colleges and Universities, Preliminary Final Report, NCES, May 1979.

Program files, Office of Postsecondary Education.

For further information about program operations,

Contact: Tom McAnallen, 245-3253

For further information about studies of program effectiveness,

Contact: Sal Corrallo, 245-7884

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name

Postsecondary Educational Institution and Program Eligibility Determination and Agency Evaluation

Legislation	Expiration Date
Accreditation: Education Amendments of 1952 (Public Law 82-550), subsequent legislation. Eligibility: Higher Education Act of 1965, as amended including Public Law 96-374.	N/A

Funding History: N/A

Program Goals and Objectives

The Eligibility and Agency Evaluation Staff (EAES) and the U.S. Secretary of Education's National Advisory Committee on Accreditation and Institutional Eligibility (NACAIE) function to "orchestrate" a system of determining eligibility for postsecondary educational institutions and programs to participate in Federal student and institutional assistance programs.

Program Operations

Initial eligibility is granted to postsecondary institutions and programs which meet certain statutory and other prerequisites, including: (a) State licensing or chartering, (b) accreditation by private nongovernmental accrediting bodies or State approval agencies recognized by the U.S. Secretary of Education, and (c) compliance with appropriate Federal regulations. The Secretary of Education publishes criteria with which accrediting agencies and State approval agencies must comply in order to be listed as recognized by the Secretary. Accreditation of an educational institution or program by one of these agencies is an essential requirement for eligibility to participate in Federal funding programs. At least every four years, an agency's continued compliance with the criteria is reviewed by NACAIE/EAES and a recommendation is made to the Secretary regarding the agency's continuation of recognition.

EAES is comprised of 24 permanent full-time positions. It is organized into two sections and a director's office. One of the sections is subdivided into two units.

Program Scope

As of February 1, 1981, EAES has,

(a) certified 9,351 institutions for Federal eligibility through the "triad" eligibility process participated in by accrediting bodies, State chartering and licensing agencies, and the Federal government;

(b) provided the staff for the NACAIE and the Secretary (formerly Commissioner of Education which has resulted in the recognition of 75 accrediting bodies, 10 State agencies for the approval of public postsecondary education, and 8 State agencies for the approval of nurse education.

Program Effectiveness and Progress

Over the last decade several studies and evaluations have been conducted in the area of eligibility determination. These are cited in the section on sources of evaluation data. The major findings of the more recent studies (since 1976) are summarized below.

Authorization by State agencies is a prerequisite for institutions seeking to participate in Federal programs, since the States have the major constitutional responsibility for the governance of postsecondary institutions within their boundaries. With the States, therefore, having the major burden of consumer protection in postsecondary education, a study (Jung, et al., 1976) was conducted to assess the degree to which postsecondary state oversight agencies provide student consumer protection by preventing or correcting abusive and potentially abusive institutional policies, practices, and conditions. Additionally, the study included (1) an in-depth profile of strengths and weaknesses of the State laws and enforcement resources, and (2) specific suggestions for strategies which could be used by the USOE to help State agencies require stronger laws and augment their enforcement resources.

The American Institutes for Research completed "A Study of State Oversight in Postsecondary Education" in December 1977. They found that State authorizing/oversight requirements are relatively much more extensive for private non-degree-granting institutions, less extensive for private degree-granting institutions, and almost non-existent for public institutions. Their report concluded that:

- stronger laws and regulations are needed, especially to (1) eliminate provisions that now exclude accredited institutions from State agency oversight, (2) provide stronger bonding or tuition-indemnification requirements, (3) provide and publicize statewide complaint-handling systems, and (4) improve the coordination and communications among the agencies that have various oversight responsibilities within each State;

- better communications and coordination are needed among licensing agencies in all States, especially in the degree-granting sector, to deal with problems created by institutions that operate across State lines.

Significant barriers to improved consumer practices were found due to:

- unwillingness of legislatures to make adequate appropriations for school oversight due to a lack of understanding of the nature of the problem and general reluctance to approve funds for any form of State regulation;

- strong and effective opposition by schools and accreditation bodies to increased levels of State agency oversight;

- lack of agreement and cooperation among State education agencies about which agency should perform what functions; and

- reluctance of law enforcement agencies and attorneys general to take strong action against educational institutions.

In July 1978, that report was the basic working document for an invitational conference sponsored by the (then) U.S. Office of Education and the Education Commission of the States. Conference participants were representatives from State authorizing and oversight agencies, legislators, governors' education aides, attorneys general, chief State school officers, congressional aides, and Federal agency staff.

In support of the State role the Institutional Report Form (IRF), originally developed as part of the consumer protection study (Dayton, Jung, 1980) was revised and field tested for use by State postsecondary education licensing and oversight agencies. The field test was to provide State postsecondary licensing and oversight agencies with a tool to monitor the potential for student consumer abuse in the institutions over which they exercise authority. The field test which was completed in 1980 found that:

- Response to the Institutional Report Form (IRF) was generally positive. Fifteen of eighteen agencies completed their efforts on time. Sixty-eight percent of State agency and institution respondents had clearly positive reactions to the IRF (only three percent had clearly negative ones). Fifty percent of the respondents felt the IRF should be used more widely (twenty-one percent opposed this).

- The IRF was most useful at new schools, non-accredited schools, and others that do not already undergo a regular review. The schools preferred it as a self-check educational tool for institutional officials, rather than as a monitoring device to be used in an authoritarian manner by the State agency.

- The study recommends that wider use be made of the IRF, as a means of improving student consumer protection, by postsecondary schools particularly as a self-check educational tool for school officials. Also, since State licensing, as the first step to Federal funds eligibility, represents the primary defense against student consumer abuse, minimal Federal assistance to strengthen State licensing and oversight should be considered. This Federal assistance might include a Federally sponsored clearinghouse for sharing information among State agencies; and to provide further technical assistance in use of the IRF, especially for States with new oversight agencies or staff. ED should assign one agency of the department the responsibility for initiating and maintaining a continuing liaison with State licensing and oversight agencies and their national organizations. This liaison would be to enhance Federal and State cooperation in protecting student consumers.

Another study also completed in 1980 by the Educational Testing Service, evaluated the ED Criteria and Procedures for the Recognition of Accrediting and State Approval Agencies. This study was designed to assess how well ED's procedures for recognizing accrediting agencies distinguish agencies that can relied on for accurate evaluations of educational quality from those that cannot. During the ten-year period from 1969 to 1978, ED conducted approximately 240 evaluations of the organizational structure and procedures of more than 100 accrediting and state approval agencies concerned with postsecondary education. Nineteen percent of those evaluations resulted in denial of recognition, or instruction to show cause why recognition should not be revoked. The remaining 81 percent led to recognition for periods of one to four years, depending on the number and the seriousness of the agencies's deficiencies. The requirements for recognition are embodied in 44 published criteria. The study evaluated the criteria as well as USDE's procedures.

The major findings affecting the reliability and validity of the ED criteria and procedures are:

- The ED procedures reliably differentiate ineffective agencies from effective ones and remain stable from year to year in the interpretation and application of the criteria.

- The recognition decisions over the ten-year period from 1969 to 1978 have consistently utilized virtually all the criteria; decisions have not rested dominantly on a limited number. The few criteria that have not discriminated between recognized agencies and those denied recogrecognition have been criteria that are universally met, such as the requirement that the agency's standards be published.

- Agencies denied recognition differ among themselves more widely than do the agencies recognized for three or four years. The major deficiencies of the agencies denied recognition tend to involve weak evaluative procedures, questions about the impartiality of their decisions, and nonrepresentative governing boards. Secondary deficiencies are related to small size and limited staff, budget, and experience.

- To a large extent, the criteria that most sharply differentiate the recognized agencies from those denied recognition are also most important to assessing an agency's effectiveness in evaluating education quality. The major exception is the criterion requiring public representation on an agency's governing board, which has had a significant role in the decisions but appears to be relatively unimportant.

- A group of slightly more than 100 persons knowledgeable about accrediting from a variety of perspectives, when presented descriptions of agencies that had been evaluated and either recognized or denied recognition by ED, agreed substantially with the ED decisions. The measure of agreement between the actual decisions and the judges' decisions was .68, where 1.00 indicates perfect agreement. Agreement was close to perfect in the case of the agencies denied recognition. The major source of disagreement involved agencies recognized for a limited period, where the judges tended to award recognition for a slightly longer period than was awarded in actual decisions.

Ongoing and Planned Evaluation Studies

None Planned

Sources of Evaluation Data

Program Files, Office of Postsecondary Education.

Orlans, Harold, et. al., Private Accreditation and Public Eligibility, Volume I and II, The Brookings Institution and the National Academy of Public Administration Foundation, Washington, D.C. 1974.

Jung, Steven M., et. al., Improving the Consumer Protection Function in Postsecondary Education, American Institutes for Research, Palo Alto, California, December 1976.

Jung, Steven M., et. al., A Study of State Oversight in Postsecondary Education, American Institutes for Research, Palo Alto, California, December 1977.

Comptroller General, What Assurance does Office of Education's Eligibility Process Provide? HRD-78-120, U.S. General Accounting Office, Washington, D.C., January 17, 1979.

Warren, Jonathan R., Evaluation of Criteria for Recognition of Accrediting and State Approval Agencies, Educational Testing Service, Berkeley, California, May 1980.

Dayton, Charles W. and Steven M. Jung, State Regulatory Agency Field Test of the AIR Institutional Report Form, American Institutes for Research, Palo Alto, California, November 1980.

For further information about program operations,

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For further information about studies of program effectiveness,

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F.

EVALUATION OF EDUCATIONAL RESEARCH AND IMPROVEMENT

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Pre-College Teacher Development in Science

Legislation:

P.L. 96-374, Section 1303 added Section 406A to the General Education Provisions Act (20 U.S.C. 1221e-1b).

Expiration Date:

September 30, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1980	$ 2,500,000	$ 2,500,000
	1981	2,500,000	1,875,000 [1]
	1982	1,875,000	

Program Goals and Objectives:

The major goal of the Pre-College Science Teacher Development Science program is to promote high quality science, mathematics, and social studies instruction in the Nation's elementary schools. This is done through:

- Improving teachers' knowledge of the subject matter of science and mathematics, and accompanying appropriate instructional strategies;
- Developing and maintaining cooperation and communication between scientists and mathematicians at colleges and universities and teachers in elementary schools; and
- Aiding teachers in the identification and use of resources appropriate to their level of instruction, which will aid in their teaching of scientific concepts.

It is the goal of this program to fill these needs, by awarding grants to colleges, universities, and nonprofit institutions having the scientific research staff and facilities necessary to mount a quality science education program. The projects funded provided continuing education opportunities for kindergarten and elementary school teachers extending their basic subject training.

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[1] The appropriation was $1,875.000 in FY 1981, due to rescission of 25% (or $625,000) of the Program authorization of $2,500,000.

Program Operation:

The program solicits applications for grants from colleges and universities that offer at least a baccalaureate degree in science as well as from nonacademic, nonprofit institutions having both the scientific research staff and facilities necessary to mount a quality science education program. Such institutions could include museums, scientific field stations, and nonprofit scientific research laboratories.

Most applications will fall into one of the following categories:

1. Academic Year Seminars -- Part-time

   Part-time study offered at a central location for teachers within commuting distance, with sessions held regularly during the academic year. Such projects may be preceded by a brief (up to one week) full-time session prior to the beginning of school, or be followed by a brief (up to one week) "wrap-up" following the close of the school year.

2. Summer Seminars -- Part-time

   Study offered at a central location for teachers within commuting distance, with sessions held during the summer. Such projects may include follow-up sessions during the academic year similar to these described under Item one above.

3. Summer Workshops -- Full-time

   Projects offered during the summer, generally for one to four weeks. These projects usually will be regional and intended for more advanced training in specific disciplines. Limited follow-up activity may take place during the academic year.

Projects are to provide instruction on general concepts of science and mathematics, or more advanced training in specific disciplines, concsistent with the needs of an identified group of teachers. Courses are developed cooperatively between local school systems and colleges, to meet the needs of the teachers to be served. The instruction may also illustrate appropriate materials and instructional teaching strategies for classroom use, as well as identify local resources that are applicable to classroom instruction. Some teachers may require subject matter training in the traditional disciplines and trainng on how such disciplinary materials can be applied in their classroom settings. Others may benefit more from interdisciplinary or multidisciplinary science training.

Program Scope:

Sixty-eight projects have been funded in FY 1981, and approximately 3,200 teachers will participate in the program. A multiplier effect is achieved by encouraging the teachers who participate in this training to train other elementary teachers in their schools. In this way approximately 35,000 teachers will receive instruction. Fifteen of these projects were jointly funded with the National Science Foundation. These jointly funded projects involve study opportunities for both elementary and secondary school teachers.

Program Effectiveness and Progress:

Since this is a new Department of Education program, offered for the first time in FY 1981, independent of the National Science Foundation, no formal evaluation has been conducted.

Ongoing and Planned Evaluation Studies:

A preliminary evaluation of this program is proposed for FY 1982.

Sources of Evaluation Data:

Analyses of grantee reports.

The Status of Pre-College Science, Mathematics, and Social Studies Practices in U.S. Schools, July, 1978; GPO Stock No. 038-000-00383-6; $3.50.

What Are The Needs In Science, Mathematics, and Social Science Education? Views From the Field 1980, NSF SE80-9, available from the National Science Foundation.

For further information about program operation,

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Territorial Teacher Training Assistance Program

Legislation:	Expiration Date:
The Education Amendments of 1978, P.L. 95-561, Sec. 1525	September 30, 1984

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1980	$ 2,000,000	$ 2,000,000
	1981	2,000,000	1,800,000
	1982	Indefinite	

Program Goals and Objectives:

The Territorial Teacher Training Assistance Program provides Federal funds for the upgrading of existing teacher's capabilities in schools in Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, the Trust Territory of the Pacific Islands, and the Virgin Islands. The intention of the program is to provide a multi-year one-time investment to help territorial institutions provide teacher training programs to strengthen their efforts and to build the capacity to continue to deliver improved instruction after the Federal funding is discontinued.

Program Operations:

The Program is a combined grant-entitlement activity. Only the five territories are eligible recipients, and each territory may receive no less than five percent of the funds appropriated. Awards are for four years, with each years continuation subject to performance and availability of funds. The territory SEA must submit an application, either alone or in conjunction with an IHE. If a joint application is submitted, each SEA remains fully responsible for the administration of the project. Activities must be directed at teachers who work with students in grades k - 12 in public and non-profit private schools. All activities must be directly related to teaching and may include, but are not limited to, inservice teacher training in basic skills development or specific subject areas, curriculum development, use of instructional materials or equipment, classroom management, or training for teachers to achieve full certification under the appropriate territorial requirements.

Program Scope:

In FY 80, the first year of program operations, all five eligible territories applied for and received awards. The awards ranged in size from $1,000,000 to $100,000. It is expected that all five grantees will request and receive continuation awards, although at slightly reduced funding levels.

Program Effectiveness and Progress:

Since program continuation applications and progress reports have not yet been submitted, no information on effectiveness is available.

Ongoing and Planned Evaluation Studies:

Program continuation applications and progress reports.

For further information about program operation,

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For further information about program effectiveness,

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Public Library Services

Legislation:

Library Services Act, P.L. 84-597 as amended by the Librarty Services and Construction Act, Title I, P.L. 91-600, P.L. 93-133, P.L. 93-380, P.L. 95-123, and P.L. 97-35.

Expiration Date:

FY 1984

FUNDING HISTORY:

Beginning in 1972, State institutionkalized Services (Title IV-A) and Services to the Physically Handicapped (Title IV-B were combined under Title I. The 1977 amendment requiring a percentage of any excess of funds over $60 million to be reserved for strengthening major urban resource libraries in FY 1979.

YEAR	AUTHORIZATION	APPROPRIATION
1961	$ 7,500,000	$ 7,500,000
1962	7,500,000	7,500,000
1963	7,500,000	7,500,000
1964	25,000,000	7,500,000
1965	25,000,000	25,000,000
1966	25,000,000	25,000,000
1967	35,000,000	35,000,000
1968	45,000,000	35,000,000
1969	55,000,000	35,000,000
1970	65,000,000	29,750,000
1971	75,000,000	35,000,000
1972	112,000,000	46,568,500
1973	117,600,000	62,000,000[1]
1974	123,500,000	44,155,500
1975	129,675,000	49,155,000
1976	137,150,000	49,155,000
Transition Quarter		12,189,000
1977	137,150,000	56,900,000
1978	110,000,000	56,900,000
1979	140,000,000	62,500,000
1980	150,000,000	62,500,000
1981	150,000,000	62,500,000
1982	65,000,000	Pending

Program Goals and Objectives:

The legislative purpose of the program is to provide support to States: to assist them in providing library services to areas without such services or areas with inadequate services, including services to such groups as the disadvantaged, bilingual, the physically handicapped, those in State-support institutions and users of major urban resource libraries; to strengthen metropolitan public libraries which serve as national and regional resource centers; and to plan programs and projects to extend and improve services. Funds may also be used to strengthen the capacity of the State library administrative agencies to serve people and for administrative costs for all Library Services and Construction Act programs.

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[1] $32,000,000 of the 1973 appropriation was impounded and not released until 1974.

Program Operations:

LSCA, Title I, allots funds to the States by grants on a formula-matching basis. Each State, and D.C. and Puerto Rico, receives a base of $200,000 and each outlying Territory receives a base of $40,000, with the balance distributed on the basis of total resident population. The Federal share ranges from 33 percent except for the Trust Territories, which are 100 percent Federally funded. States must match in proportion to their per capita income and also maintain the same level of expenditures of the second preceding year. They must also maintain the same level of fiscal effort of the second preceding year for handicapped and institutionalized library services. Federal expenditures for administration of the program must be matched with an equal amount of nonFederal funds. States with cities of 100,000 population or more must reserve funds for major urban resource libraries according to a statutory formula when the appropriation exceeds $60 million and may not reduce the amount paid to these libraries below the amount they received in the preceding year. In order to participate, each officially designated State library administrative agency must submit a basic State plan (State/Federal agreement), an annual upadate of the long-range program for library development based on the State's assessed needs, an annual evaluation report. These documents outline a state's goals, objectives, priorities, and activities, along with project evaluation for specified periods of time. Furthermore, they provide to the Secretary of Education assurances that the above-mentioned specific requirements will be met annually as stated in the State/Federal agreement signed by both parties.

Program Scope:

1. Federal dollars appropriated (1957-81)	$ 845,854,500

Estimated FY 79 data for this program are as follows:

2. Disadvantaged persons receiving services from LSCA funds	30,000,000
3. Number of Limited-English-speaking persons served by LSCA	5,000,000
4. Number of handicapped persons served by LSCA	1,200,000

5. Number of State institutionalized persons served by LSCA funds	$ 750,000
6. Number of metropolitan libraries strengthened as resource centers	109
7. Number of cities with populations of 100,000 of more which may qualify for portion of funds in excess of annual appropriation of $60 million.	170

Program Effectiveness and Progress:

Federal assistance has contributed to the expansion and improvement of library services throughout the country. Today, about 96 percent of the population has access to some form of public library services. Current reports indicated that over 40 percent of the LSCA expenditures have gone to projects with designated disadvantaged priorities.

- Public library services that link individuals with available, necessary information for self-help, coping employment and learning skills are expanding. Information and referral (I&R) services are growing and it is estimated that 60% of all public libraries are providing some form of I&R.

- Services to handicapped persons and other special identified groups are expanding. With LSCA support, libraries are utilizing new technology and developing new delivery strategies to reach the visually impaired, deaf, and other physically disabled persons in the population. New media being used include reading machines, teletypewriters, and radio receivers. Libraries are removing their access barriers and delivering programs outside the library to institutions, homes, and into rural areas by mail, in an effort to reach more handicapped and isolated persons.

- Increased literacy programs in libraries are attracting adults and young adults who are learning reading skills in the non-classroom atomosphere of the libraries. Often tutors and teachers are volunteers.

- Through responsive library programs, independent learners are pursuing their special interests, upgrading their professional knowledge and job skills.

The first study of the impact of Title I services, covering the period from 1964 to 1968, was made by the System Development Corporation (SDC), Santa Monica. In reviewing the LSCA activities in 11 States it found that most projects felt handicapped by: lack of manpower; lack of coordination among public libraries and other education agencies; need for research in determining whether disadvantaged projects were reaching their goals; lack of understanding on the part of the public of library's potential and actual services; lack of ability of libraries to react quickly to public demands for more service; and lack of suitable measurements of library performance.

The Behavior Science Corporation, Washington, D.C., conducted a study to evaluate public library service to disadvantaged people in selected cities. These projects were not limited, however, to Title I projects. This pilot study selected library programs serving the disadvantaged in 15 cities and utilized user and nonuser interviews for evaluation. The study recommended that libraries find better ways to coordinate with schools when dealing with disadvantaged children. The successful programs were characterized by some or all of the following features: active participation by the target group; emphasis on audio visual rather than print materials; and, provision of significant service in the community.

Another major evaluation study was conducted by SDC to determine how the Library Service and Construction Act, Title I, was meeting the public library needs of special clientele groups; e.g., disadvantaged, ethnic minorities, handicapped, and institutionalized persons. This evaluation surveyed all State Library Agencies, all known ongoing projects directed toward these groups, and discontinued projects. This study provided an inventory of projects, a needs assessment, and recommendations for program change. Over 1,600 projects were identified queried. It was found that many projects classified as discontinued (these projects had been initiated with LSCA funds) were operational with funds now received from State or local agencies. A methodology specifying criteria to judge program effectiveness was developed, and was tested and validated with a sample of projects.

The report concluded:

> It is evident from the data gathered in this project that LSCA projects directed toward special clientele have been successful, to some extent. More projects are successful than unsuccessful, and fairly significant numbers of special clientele groups have been reached. It is also evident that some projects are far from successful. Many important needs are not being met, or barely being met, even by projects judged successful...
>
> In many States it was evident that were Federal funds not available, there would be no projects whatsoever for special clientele. Indeed, in one State plan that was examined the statement was made that, while there were special clientele in the State, no projects need be directed towards them because the State intended to give service to all of its citizens on an equal basis: that naive attitude represents -all too frequently -- the lack of knowledge and concern that exists at many levels of State and local government. Special clientele frequently need to be educated to become users, and persuaded that the library has something of value for them. LSCA funds have been a critical factor in projects for special clientele, and they have provided the bulk of the funds being used for innovative projects; without LSCA (or no innovation -- in short, a rather static, even moribund public library in the U.S.

A subsequent study of "The Public Library and Federal Policy", performed by SDC, assessed the current national public library situation utilizing existing data and included recommendations for further data collection efforts in areas of current information deficiencies. The final report stated:

> In this study we examined the past and present status of the public library and likely directions for the future. Based upon our examination of the public library as an information-providing institution, and our certainty that free access to all kinds of information is a requirement of a democratic society and a necessity for individual well being, [it was found that]
>
> The Federal government has played a role in recent years of helping the public library to organize into systems and to provide services to segments of the population who were previously unserved. While there are indications that Federal programs suffered from insuffficent coordination, insufficient evaluation, and inadequate funding impetus toward system organization and the provision of services to special clientele were provided by Federal intervention.

A comprehensive study of LSCA I was recently completed by Applied Management Sciences (AMS). The purpose of the study was to evaluate the impacts and effectiveness of the only Federal program designed to assist State efforts to develop and improve public libraries.

Since there are a variety of purposes for this program, it is not surprising that there were a diversity of findings, some of which initially may appear contradictory. The study found that significant proportions of LSCA Title I funds are expended on the general public which may indirectly benefit target populations, including such indirect services as interlibrary loans or centralized purchasing. Only 32.9 percent of all public libraries have received at least one direct LSCA Title I grant since 1965, but only 6% of all public libraries failed to receive at least one direct benefit from the program.

The study confirmed the findings of an earlier study that LSCA I is contributing much to the growth of networking and interlibrary cooperation. Because of this generalized approach, the efforts to upgrade service to target groups has generally been less than expected, with the exception of State institutionalized and handicapped groups. When LSCA was originally legislated in 1956 extending coverage to the unserved was a major concern. It is estimated that 96% of the population now have access to library service, thus achieving one of the program's original goals. The adequacy of this service could not be measured due to the lack of standards. Complicating efforts to upgrade existing services is the problem of rising costs. Increasingly the ability to pay is being outstripped by cost, causing a shift away from the goal of improvement towards one of maintaining existing levels of services in the face of diminishing revenues.

The results of this study are especially timely, since the existing legislation expires in FY 1982. An analysis of the findings should provide valuable inputs to refining the role of Federal support of public libraries in consideration of such factors as the economy, the existing State and cost of library services, and current administration policies.

Ongoing and Planned Evaluation Studies:

None.

Sources of Evaluation Data:

1. Overview of LSCA Title I, by system Development Corporation, published by Bowker, 1968.
2. A Study of Public Library service to the Disadvantaged in Selected Cities, behavior Science Corporation, 1970.
3. Study of Exemplary Public Library Reading and Reading Related Programs for Children, Youth and Adults, by Barss, Reitzel and Associates, Inc., 1972.
4. Basic Issues in the Government Financing of Public Library Services, Government Studies and Systems, May 1973.
5. Evaluation of LSCA Services to Special Target Groups, by System Development Corporation, July 1973.
6. The Public Library and Federal Policy -- by System Development Corporation, July 1973, published by Greenwood Press, 1974.
7. An Evaluation of Title I of the Library Services and Construction Act. Applied Management Sciences, 1981.
8. Various Library Demonstration Projects: These projects are designed to survey and analyze the public library and information services to the American Indian, the aging, the handicapped institutionalized, and the information needs of the rural and urban poor.
9. An Evaluation of Title I of the Library Services and Construction Act. Applied Management Sciences, 1981.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Interlibrary Cooperation

Legislation:

Library Services Act, P.L. 84-597
as amended by Library Services
and Construction Act, Title III,
P. L. 89-511 as amended and extended
by P.L. 91-600, P.L. 95-123, and
P.L. 97-35.

Expiration Date:

FY 1984

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1967	$ 5,000,000	$ 375,000
	1968	7,500,000	2,256,000
	1969	10,000,000	2,281,000
	1970	12,500,000	2,281,000
	1971	15,000,000	2,640,500
	1972	15,000,000	2,640,000
	1973	15,750,000	7,500,000
	1974	16,500,000	2,593,500
	1975	17,300,000	2,594,000
	1976	18,200,000	2,594,000
	Transition Quarter		648,000
	1977	18,200,000	3,337,000
	1978	15,000,000	3,337,000
	1979	20,000,000	5,000,000
	1980	20,000,000	5,000,000
	1981	20,000,000	12,000,000
	1982	15,000,000	Pending

Program Goals and Objectives:

The legislative purpose of the program is to establish and maintain local, regional, State or interstate cooperative networks of libraries and for the coordination of informational services of schools, public, academic, and special libraries and information centers, permitting the user of any one type of library to draw on all libraries and information centers. Participapation of two types of libraries in the cooperative activity is a program requirement.

1/ $4,770,000 of the FY 73 appropriation was impounded until FY 74. Actual FY 73 obligations were 42,730,000.

Program Operation:

The Library Service and Construction Act (LSCA), Title III, allocates funds to the States on a formula basis. Each State receives a minimum sum of $10,000, and the remainder is allocated by population. The State library agency must submit its Annual Program Plan proposed expenditures of funds) before it can receive its allocation. Title III does not require State or local matching funds, although many projects do use State and local funds along with LSCA funds.

Program Scope:

The FY 80 appropriation provided support for cooperative networks involving the sharing of resources among nearly 5,000 libraries of at least two more of the following four types: school, academic, public, or special. Based on the States'programs for FY 79, the following table indicates areas of expenditures, based on State definition of use. These are not discrete categories.

	Uses of funds	Number of States
1.	Interlibrary loan and reference networks	38
2.	Multi-State organizations	29
3.	Union lists/catalogs	25
4.	Continuing education	23
5.	Use of Computers	15
6.	Preparation of special subject lists or directories	9
7.	Planning for interlibrary cooperation	9
8.	In-State regional multi-type cooperative systems	8
9.	Processing centers	5
10.	Automated circulation systems	6
11.	Delivery systems	3

Program Effectiveness and Progress:

- Participation by all types of libraries in telecommunications and information processing systems has increased.

- Access to computer-based information services through regional, State, and multi-State cooperative networks has been made available to more people, including those in sparsely populated rural areas.

- Planning within States, as well as among States, for coordination of library and information services has increased.

- Bibliographic data banks have been expanded to include the holdings of many libraries of different types within regions, statewide and in multi-State areas.

A study of library cooperatives, networks, and demonstration projects was completed in April 1978, by Applied Management Sciences, Silver Spring, Maryland. It states, "LSCA III has impacted the development and expansion of library cooperation in a number of ways. LSCA III is a major driving force behind the development of multi-type library cooperation and networking, primarily at the State level. Along with LSCA I, use of LSCA III has resulted in greater centralization of planning and administration of library services at the State and regional levels. LSCA III was credited as a major influence on State legislatures to modify or pass into law legislation favoring cooperation and networking. Activities and services to increase access to library resources and to provide librarians with needed continuing education were listed as the major outcomes of the cooperative and networking Projects."

Ongoing and Planned Evaluation Studies:

None.

Sources of Evaluation Data:

1. A Study of Library cooperatives, Netowrks, and Demonstration Projects, by R. Patrick, et. al. K. G. Saur, New York, 1980, (2 volumes).

2. Program operational data.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

College Library Resources

Legislation:

Title II-A of the Higher Education Act of 1965, as amended by Section 201 of the Education Amendments of 1980 (P.L. 96-374)

Expiration Date:

FY 1985

FUNDING HISTORY:

YEAR	AUTHORIZATION	APPROPRIATION
1966	$50,000,000	$10,000,000
1967	50,000,000	25,000,000
1968	50,000,000	24,522,000
1969	25,000,000	25,000,000
1970	75,000,000	9,816,000
1971	90,000,000	9,900,000
1972	18,000,000	11,000,000
1973	75,000,000 (II-A&B)	12,500,000
1974	85,000,000 (II-A&B)	9,975,000
1975	100,000,000 (II-A&B)	9,975,000
1976	100,000,000 (II-A&B)	9,975,000
1977	110,000,000 (II-A&B)	9,975,000
1978	115,000,000 (II-A&B)	9,975,000
1979	120,000,000 (II-A&B)	9,975,000
1980	120,000,000 (II-A&B)	4,988,000
1981	10,000,000 (II-A only)	2,988,00
1982	5,000,000	Pending

Program Goals and Objectives:

The Education Amendments of 1980 provide for resource development grants to eligible institutions to assist and encourage them in the acquisition of library resources (including law library resources), such as books, periodicals, documents, magnetic tapes, phonograph records, audiovisual materials, and other related materials (including necessary binding). As a result of the new legislation funds may also be used for the establishment or maintenance of networks for resource sharing. Eligible institutions are defined as institutions of higher education and other public and private nonprofit library institutions whose primary function is providing library services to institutions of higher education on a formal cooperative basis.

Program Operations:

A resource development grant may not exceed $10,000. Awards are made to applicants that meet the eligibility standards and the maintenance of effort requirement. The maintenance of effort requirement states that the applicant must plan to expend for library materials an amount equal to or in excess of the average for the two fiscal years preceding the year of application. Only in very unusual circumstances will waivers of the maintenace of effort requirement be approved.

Notices to apply for Title II-A Resource Development Grants is published annually in the FEDERAL REGISTER. The applications are reviewed for completeness, eligibility, adherence to the maintenace of effort requirement, and requests waiver. All applicants whose eligibility status has not been determined are referred to the College Eligibility Section, Division of Eligibility and Agency Evaluation, Department of Education. Upon review and approval the applicants are placed on the funding list. Otherwise they are notified of rejection due to failure to meet the published criteria. Recipients of Title II-A awards are required to submit annual fiscal reports. ED staff conducts on-site monitoring.

Program Scope:

In the early years of the program, annual appropriations of about $25,000,000 provided each applicant with a basic grant of $5,000 and also allowed substantial supplemental and special purpose grants. In FY 71 and 72 appropriations were reduced and priority was given to the neediest institutions, on the basis of recommendations made by the staff and the Commissioner's Advisory Council on Library Training. This approach was predicated on data indicating that most junior colleges and many urban institutions were far below national standards. However, the Education Amendments of 1972 required that the first priority was to award basic grants to all eligible institutions.

Fiscal Year	Appropriation	No of Awards	Average Amount of Grants
1974	$9,975,000	2,377	$ 4,235
1975	9,975,000	2,569	3,918
1976	9,975,000	2,560	3,930
1977	9,975,000	2,600	3,855
1978	9,975,000	2,568	3,906
1979	9,975,000	2,538	3,963
1980	4,988,000	2,604	1,900
1981	2,988,000	2,500 est.	1,200 estimated

It is anticipated that in fiscal year 1981 2,500 grants average $1,200 will be awarded for use between October 1, 1981 and September 30, 1982. Grants by type of institution are estimated to be:

	Estimated Number:
Colleges and Universities	1,325
Two year colleges (including vocational and technical schools)	1,140
Public and Non Profit Library Institutions	35

Since the inception of the program in 1966, approximately 2,500 institutions of higher education have received grants annually, and 41,573 awards for basic, supplemental, and special purpose grants totalling approximately $191 million have been made.

Program Effectiveness and Progress:

At least 200 institutions improved their libraries sufficiently through this program to receive accredititation, mostly in the 1960's.

In the early 70's a study showed that many institutions gave priority to the utilization of Title II-A grants to purchase materials on urban studies, ethnic studies, and career education. It has been estimated that 75% of the funds were used for the acquisition of printed materials and 25% for non-print materials.

During ED site visits, in past years, librarians has commented that the availability of any unrestricted funds, which are not part of any departmental book budget, helps them meet special book purchasing needs. In some cases librarians use the Title II-A funds to "match" funds of departmental requests to acquire special publications or materials not in the regular budget.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Studies:

Program operational data

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Library Career Training

Legislation:

Title II-B of the Higher Education Act of 1965, as amended by Section 201 of the Education Amendments of 1980 (P.L. 96-374), and P.L. 97-35.

Expiration Date:

FY 1985

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1966	$ 15,000,000	$ 1,000,000
	1967	15,000,000	3,750,000
	1968	15,000,000	8,250,000
	1969	11,800,000	8,250,000
	1970	28,000,000	4,000,000
	1971	38,000,000	3,900,000
	1972	12,000,000	2,000,000
	1973	(See HEA II-A College Library Resources Authorization Through 1980)	3,572,000
	1974		2,850,000
	1975		2,000,000
	1976		500,000
	1977		2,000,000
	1978		2,000,000
	1979		2,000,000
	1980		667,000
	1981	10,000,000 (Training, 1,200,000 R & D and Special Purpose Grants)	667,000
	1982		Pending

Program Goals and Objectives:

The goal of the program is to provide training opportunities to professionals and paraprofessionals in library and information services. The program objectives are to increase opportunities for minorities and disadvantaged persons, to assist minorities and women in obtaining the skills necessary for their professional advancement, and to provide opportunities for people in the profession to upgrade their skills or to learn new techniques of information transfer and communication technology.

The major aims of the program in FY 1981 are to:

- Increase the number of minorities and economically disadvantaged persons in the profession.
- Establish and improve library and information services to minorities and handicapped individuals.
- Prepare minorities and women for leadership positions in library and information science administration, research, and college-level teaching.

Program Operations:

This is a discretionary grant program which provides assistance to institutions of higher education and library organizations or agencies to train or retrain individuals for service in all types of libraries and information centers. Training projects may be a short or long-term institutes, traineeships, or academic fellowships. Through the fellowship program grantees pay fellowship stipends to participants based on the training level of the project. Additional funds are awarded to the institution to assist for covering the cost of the training courses. Funds for institute projects may be used as stipends to participants or to cover the actual cost of the project. A traineeship grantee may choose either the fellowship or institute method of funding. Dependency and travel allowances may be available under the three types of projects.

Grants for training projects are awarded annually on a competitive basis. A panel of outside experts evaluates each application according to published selection criteria. Using the panel evaluation as guidance, the authorized ED official selects the grantees.

The program is administered through correspondence, telephone, communication, meetings, and review of required reports. Site visits are planned for 25% of the grantees each year.

Program Scope:

The Fiscal Year 1981 appropriation of $667,000 has been shared by 34 institutions for fellowships in 21 States and the District of Columbia. The awards will support 59 master's, 2 post-master's, 13 doctoral, and 5 associate level fellowships. The cost per fellowship at the master's level is $8,000, at the post-master's and doctoral level, $12,000, and at the associate's level $3,500. In 1981, it is estimated that over 77% of the fellowship awards made by grantee institutions will be to ethnic or racial minorities.

Program Effectiveness and Progress:

No known or current data exist which address program effectiveness.

Ongoing and Planned Evaluation Studies:

None.

Sources of Evaluation Studies:

Program files which contain narrative and fiscal reports, personal interviews, and professional literature.

Overview of the Library Fellowships Program, by the Bureau of Social Science Research, Inc., of Washington, D.C. 1970.

Data Collection and Description of HEA Title II-B Institutes, by Rutgers, New Brunswick, New Jersey, 1972.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:	**Expiration Date:**
Library Research and Demonstrations	FY 1985

Legislation:

Title II-B of the Higher Education Act of 1965, as amended by Section 201 of the Education Amendments of 1980 (P.L. 96-374), and P.L. 97-35

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1967	(See HEA II-B	$ 3,550,000
	1968	Library Career	3,550,000
	1969	Training authori-	3,000,000
	1970	zation for FY 1967	2,171,000
	1971	through FY 1972).	2,171,000
	1972	(See HEA II-A	2,750,000
	1973	College Library	1,785,000
	1974	Resources Authori-	1,425,000
	1975	zation for FY 1973	1,000,000
	1976	through FY 1980)	1,000,000
	1977		1,000,000
	1978		1,000,000
	1979		1,000,000
	1980		333,000
	1981	(See HEA II-B Training)	250,000
	1982		Pending

Program Goals and Objectives:

The purpose of the program is to provide support for research and demonstration projects related to the improvement of libraries, training in librarianship, and information technology and for the dissemination of information derived from such projects. The program aims to improve libraries through economic and efficient information delivery, cooperative efforts and development projects. The program encourages projects of educational significance that can be replicated.

Program Operations:

This program is authorized to make discretionary grants to and contracts with public and private organizations and agencies including institutions of higher education. Eligibility for grants and contracts was expanded to include profit making organizations by the Education Amendments of 1980.

Applications are solicited and reviewed annually. A review of proposals is conducted according to published criteria. In FY 81 only contracts were awarded. A Notice of Proposed Rulemaking was published December 30, 1980 proposing for selection.

Program Scope:

With an appropriation of $250,000 in Fiscal Year 1981, this program supports two contracts and several commissioned papers. These projects will conduct research and disseminate information that is intended to facilitate library improvements through economics and efficient information delivery and cooperative projects. The current contracts are:

- Criteria of Effectiveness for Network Delivery of Citizen's Information Through Libraries (Awarded December 1980 to Simons College - Boston, Ma., $57,000)

  This project will identify and record who uses library network/consortia, for what reasons, and with what degree of success. It will provide vital baseline data on the use of network/consortia, and will develop a design and performance methodology for library information networks that provide consumer information. This study could, in the future, help library networks reshape, reform, and reorganize into a unified national network that is structured, efficient, and more sensitive to the information needs of the people.

- This project will develop a National Research Agenda for Library and Information Science for the 1980s. The results of the project may provide guidance for library researchers in university and research institutions, and for agencies of the Federal Government land the private sector. A major challenge is to arrive at a National Research Agenda that is both relevant to the library and information requirements of the 1980s and that is understandable and supportable by the research community.

Program Effectiveness and Progress:

- Since 1967, $26,235,000 has been funded for research and demonstration to improve library services.
- 309 Projects were funded 1967-80.

Type of Program	Total	$
o Promote interlibrary cooperation to serve specialized groups	65	21%
o Demonstrate applicability of technology to library services	53	17%
o Improve internal management practices to upgrade reader satisfaction	66	21%
o Develop and plan new approaches to library services	74	24%
o Design improved educational programs for libraries and information scientists	51	17
	309	100%

A study of library cooperatives, networks, and demonstration projects was completed in April 1978, by Applied Management Sciences, Silver Spring, Maryland. It states "The HEA II-B Library Research and Demonstration Program has had a significant impact upon the library and information community merely by virtue of its existence. The Program has provided millions of dollars for innovative research and demonstration, where previously there were very few funds available. It is the only Federal Program that as part of its effort, supports a wide range of research to improve public library services. The Program has generated new knowledge about innovative approaches to networking, serving special target groups, utilizing community resources, and new technology. Several projects have been successful locally and a few have had national impact, such as the series of projects which contributed to the development and improvement of the OCLC, Inc.

Sources of Evaluation Data:

1. A Study of Library Cooperative, Networks, and Demonstration Projects, by R. Patrick et. al., K. G. Saur, New York, 1980 (2 Volumes).

2. Program Operational Data.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

School Libraries and Instructional Resources

Legislation:

Title IV, Part B of the Elementary and Secondary Education Act of 1965, as amended by Section 401 of the Education Amendments of 1978 (P.L. 95-561), and P.L. 97-35.

Expiration Date:

Repealed effective October 1982

FUNDING HISTORY:

YEAR	AUTHORIZATION	APPROPRIATION [1]
1975	$ 350,500,000	$ 137,330,000
1976	Indefinite	147,330,000
1977	Indefinite	154,330,000
1978	Indefinite	167,500,000
1979	Indefinite	180,000,000
1980	Indefinite	171,000,000
1981	Indefinite	161,000,000
1982	SEA Block Grant	

Program Goal and Objectives:

ESEA Title IV, Part B, is a formula grant program. The purposes of this program as specified by the legislation are the acquisition of school library resources, textbooks, and other materials and equipment for instructional purposes only. Funds are available to State education agencies for administration of the program.

For school year 1980/81 (FY 80 appropriation) guidance, counseling, and testing activities were removed from this program, since Congress has provided a separate authority under the new Part D of ESEA Title IV.

Program Operations:

Program funds are allocated to each State from the amount appropriated to carry out Part B in an amount which bears the same ratio to the total as the number of children aged 5 to 17, inclusive, in the State to the number of such children in all the States.

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[1] Program is advance funded; amount appropriated in one fiscal year is available the next fiscal year.

The State is required to distribute these funds among local education agencies (LEAs) according to the enrollments in public and nonpublic schools within the school districts of such agencies, except that higher per pupil allocations will be provided to (1) LEAs that make a substantially greater tax effort for education than the State average, but the per pupil expenditure is no greater than the State average, and (2) LEAs that have the large proportions of children whose education imposes a higher than average cost, e.g., low-income children, rural children, and children from families in which English is not the dominant language. Local education agencies are given complete discretion (subject to provisions for equitable participation by private school children) in determining which Part B program purposes they will fund. SEAs provide technical assistance on program development and monitor projects for program compliance.

Program Scope:

The 50 States, District of Columbia, Puerto Rico, Guam, Trust Territory of the Pacific Islands, Virgin Islands, and the Department of the Interior (for children and teachers in elementary and secondary schools operated for Indian children by the Bureau of Indian Affairs) had ESEA Title IV State plans approved by the Secretary of Education for Fiscal Year 1981; about 16,376 local education agencies had approved Part B projects in Fiscal Year 1981. American Samoa and the Northern Mariana Islands have used Title IV-B funds in the consolidation of funds under the authority of Title V of P.L. 94-134.

Program Effectiveness and Progress:

The following program table contains preliminary data showing actual expenditures of Part B funds in Years 1978-81.

	1978	1979	1980	1981 (estimated)
State Administration	$6.9M (4.8%)	$6.7M (4.5%)	$6.1M (3.8%)	$10.1M (5.9%)
School Library Resources and Other Instructional Materials Textbooks	80.6M (55.3%)	$83.4M (55.3%)	$92.9M (58.2%)	$102.6M (60.0%)
Equipment and Minor Remodeling 2/	40.5M (27.9%)	$46.0M (30.6%)	$51.0M (32.0%)	$58.3M (34.1%)
Testing, Counseling, 2/ and Guidance	17.5M (12.0%)	$14.1M (9.4%)	$9.5M (6.0%)	- -
Total:	$145.5M (100.0%)	$150.2 (100.0%)	$159.5 (100.0%)	$171.M (100%)

2/ Minor remodeling eliminated 1980.
3/ Guidance, Counseling, and Testing eliminated 1981.

The following information for school year 1980/81 indicates program effectiveness and progress:

- o Average per pupil expenditure is $3.39 overall
- o An average of $4.08 per child serves 4.5 million low income children
- o an average of 43.25 per child serves 1.2 million rural school children
- o Funds enable LEAs to use new technologies such as microcomputers, video discs
- o Funds have assisted in increasing the number of books in public school library media centers.

The ESEA Title IV-B program has a requirement that the aggregate of State, local, and private school expenditure for IV-B purposes in the preceding year equal those of the second preceding year. There is a provision for a waiver of the requirement under certain circumstances. No waiver has been requested since 1977 when GUAM requested and received a waiver.

Private school children were able to participate equitably in the program because of the special efforts made by State and local educational agencies and State Title IV Advisory Councils. In FY 1981, an estimated 38.5 million public and 3.8 million private school children participated in the program.

The U.S. Catholic Conference testified that parochial school officials rate this program as the most equitable and the fairest in providing services and benefits to private school children. The National Center for Education Statistics estimates that ESEA IV-B has the highest rate of participation in several Federal programs studied. More than 90% of the Catholic schools and 40 percent of all other private schools participated in this program. It is estimated that the percentage of funds expended for Part B benefits to private schools children - 7.9% of the total Part B allocation - corresponds roughly with the percentage of eligible private school children in the school population.

A study completed in FY 1980 examined the implementation and management of the program. This study supports the following conclusions about Title IV:

- o Title IV is a popular, well-run program that is praised for its flexibility and ease of administration. State and local program staff cite Title IV as a model Federal program because of its minimal categorical constraints and procedural red tape. Federal staff receive high marks for their ability and responsiveness in program administration.

2/ Minor remodeling eliminated 1980.

3/ Guidance, Counseling, and Testing eliminated 1981.

- Title IV did not result in a consolidated management of former categorical programs. Most states and LEAs manage IV-B independently, as they did the categorical programs replaced by Title IV. The few that consolidated Title IV management and program activities did so because their pre-existing management style favored program integration. For the most part, however, little or no consolidation occurred because neither the Title IV legislation nor the Federal program response contained incentives for State officials to make more than pro forma response to the Title IV consolidation.

- States and LEAs vary in the substance, management, and quality of their IV-B activities. State and local program staff have taken advantage of Title IV's discretion to shape program activities to their particular and often quite different needs and management preferences.

  However, both the strength and weakness of Title IV lie in its flexibility. Title IV's programmatic discretion permits State and local staff to develop activities that respond to their needs much more effectively than a federally developed strategy could. Federal and State directives merely target funds and articulate broad program objectives; State and local staff determine what happens next. State management of IV-B depends on the interests of program staff, their expertise, and their assessment of the program strategies most likely to enhance local practices. Similarly, local interests and skills determine the implementation of Federal and State Title IV regulations. If local commitment or expertise is lacking, Title IV funds can be underutilized, with IV-B becoming primarily a way to fill gaps in local purchasing. In this case, IV-B funds become a wasted opportunity and do little more than sustain the status quo.

- Small IV-B grants can induce substantial improvement in local practices. Small Title IV grants can greatly assist in developing LEA practices and resources because they allow staff to tailor activities to local needs and because they often stimulate local commitment and enthusiasm. The freedom to specify project objectives, identify target groups, and devise project strategies often elicits a level of local creativity and interest that is absent when categorical strings diminish local sense of ownership and constrain choices.

Because Congress granted LEAs complete autonomy in allocating IV-B funds among the program's eligible purposes, the State has less to do with shaping the program's eligible purposes, the State has less to do with shaping local projects projects, and most SEA IV-B staff now see their function as that of auditor and program guideline interpreter. Few SEA staff view themselves as constrained by Federal regulations, however. In fact, many SEA IV-B respondents in this study's sample (46 percent) believe that State-level staff can do more with the program if they so desire. Although it is true for only a minority of States, some SEAs have used State-developed management, planning, and information strategies to persuade local districts to view IV-B as more than an acquisition service.

Local allocation choices since the IV-B consolidation mirror the purposes of ESEA Title II and NDEA III, former categorical programs. The study found that on average only 8 percent of local IV-B funds are used for guidance and counseling activities; 62 percent of the LEAs in the sample spend none of their IV-B funds on guidance and counseling.

Three-fourths of the LEAs in the sample allocate their funds on a per capita basis to individual schools. In these cases, there is little that can be called a IV-B program, and school site personnel use their IV-B allotment supplement ongoing activities. However, one of the most impressive observations from the fieldwork is that, when time and effort are spent in developing a focused project, a small IV-B grant often yields a high return. Furthermore, many local administrators report that, especially as local budgets tighten, IV-B funds are critical in maintaining the quality of district library/media and individualized instruction programs.

Title IV operations across the country demonstrate that there may be multiple program strategies to achieve a particular aim, and that successful implementation can involve programmatic and organizational development as well as compliance by lower levels of government. The legislative and administrative history of the Title IV consolidation reveals how Federal choices can strongly influence state behavior. At the State level, the way an SEA is organized and its customary way of dealing with LEAs largely determine whether the State acts as a passive funding conduit, concerned only with compliance, or whether it actively shapes Federal programs to promote the state priorities. Along with a State's political culture, these factors also critically affect the kind of technical assistance that SEAs provide to local districts.

An analysis of funding mechanisms and their effect on rural areas indicates that ESEA Title IV-B funding formulas are operating to provide rural areas with at least a proportional share of Federal funds and in most cases somewhat more.

Ongoing and Planned Evaluation Studies:

None.

Sources of Evaluation Data:

Bass,G. and Berman, P., Funding Mechanisms and Their Effect on Rural Areas: Analysis of Two Federal Programs. The Rand Corporation, 1979.

McDonnell, L. M. and McLaughlin, M.W., et. al. Programs Consolidation and The State Role in ESEA Title IV. The Rand Corporation, April 1980.

House Report No. 95-1137, 95th Congress, 2d. Session.

ESEA Title IV Annual Reports.

For further information about program operation,

Contact: Milbrey L. Jones
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For further information about program effectiveness,

Contract: Arthur S. Kirschenbaum
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Strengthening Research Library Resources

Legislation:

Title II, Part C, of the Higher Education Act of 1965, as amended by Section 201 of the Educational Amendments of 1980 (P.L. 96-374), and P.L. 97-35.

Expiration Date:

FY 1985

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION $
	1977	$ 10,000,000	-0-
	1978	15,000,000	5,000,000
	1979	20,000,000	6,000,000
	1980	20,000,000	6,000,000
	1981	10,000,000	6,000,000
	1982	6,000,000	Pending

Program Goals and Objectives:

This program makes grants to major research libraries to maintain and strenthen their collections and make their holding available to individual researchers and scholars and to other libraries whose users have need for research materials. A major research library is designed as a public or private nonprofit institution including the library resources of an institution of higher education, an independent research library, or a State or other public library having library collection which are available to qualified users and (1) makes a significant contribution to higher education and research; (2) is broadly based and recognized as having national or international significance for scholarly research; (3) is of a unique nature and contains material not widely available; and (4) is in substantial demand by researchers and scholars not connected with that institution.

Program Operations:

No institution receiving a grant under this part may be eligible to receive a grant under Title II, Part A, of the Act in the same fiscal year. A reasonable effort will be made to achieve a geographic balance in the allocation of funds. Each institution is limited to one application which may include more than one project. Funds provided may be used for the acquisition of books and other library materials; binding, repairing, and preserving books and other library materials, cataloging, abstracting, and making available guides to library collections; distributing materials and bibliographic information to users beyond the primary clientele; acquisition of equipment, supplies, and communication expense; hiring necessary additional staff to carry out funded activities.

This is a small discretionary grant program, with an annual competition involving the use of an outside review panel as well as staff review. Coordination of funded projects with the State library agency is legislatively mandated. Monitoring is conducted through site visits, analysis of reports, professional meetings, etc.

Program Scope:

Thirty grants were awarded in FY 1981. These 30 grants support activities at 41 major research libraries.

The grants to be revised range in size from $50,000 to $300,000. The average grant was $150,000. Each of the II-C Regions were represented. Of the 30 grantees, 34 are university, 5 are independent research libraries, and 2 are libraries.

The three main program activities are collection development, resource sharing and preservation of materials.

Specific methods to achieve program goals are:

- o Acquisition of additional unique and specialized library materials.
- o Preservation of rare and unique materials to permit utilization, duplication and sharing.
- o Initiation of specialized research projects.
- o Initiation and development of noteworking activities.
- o Promote inter-institutional cooperative activity.

Program Effectiveness and Progress:

Data provided through interim program reports indicate that interlibrary loan transactions have increased substantially as a direct result of HEA II-C support. Such activity means that research and scholarship throughout the nation will benefit because of the provision of resources which otherwise would not have been available.

In order to make available rare and unique library materials which are unable to be loaned or duplicated a substantial amount of grant funds have been, or are being, used for preservation projects. It is estimated that, since the first year of program operations (FY 78), over 60,000 items were preserved, so that they are now available either by interlibrary loan, duplication, or utilization on-site.

All of the projects funded to date under HEA II-C are participating in efforts to implement a national bibliographic control network. A "spin-off" of this activity is the strengthening of regional networking activities, which are essential to the development of national network. Thousands of cataloged activities. This is a small discretionary grant program, with an annual competition involving the use of an outside review panel as well as staff review. Coordination of funded projects with the State library agency is legislatively mandated. Monitoring is conducted through site visits, analysis of reports, professional meetings, etc.

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Another cost-effective aspect of the program is the evolution of inter-institutional cooperation, particularly with regard to collection development. As the national data base is built and as specialized collections are developed and strengthened, libraries avoid duplicating purchase of those items which are prohibitively expensive and not in great demand.

Ongoing and Planned Evaluation Studies:

None.

Sources of Evaluation Data:

Program Files

For further information about program operation,

Contract: Frank A. Stevens
(202) 245-9530

For further information about program effectiveness.

Contract: Arthur S. Kirschenbaum
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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAM

Program Name:

Educational Television and Radio Programming Support

Legislation:

Title III Section 303 of 1965
Elementary and Secondary Education
Act as amended by section 301 (a)
of the Educational Amendments of 1978
(P.L. 95-561)

Expiration Date:

Repeated effective
October 1983

FUNDING HISTORY:	YEAR	AUTHORIZATION	APPROPIRATION[1]
	1972	Indefinite	$ 7,000,000
	1973	Indefinite	6,000,000
	1974	Indefinite	3,000,000[2]
	1975	Indefinite	7,000,000
	1976	Indefinite	1,600,000
	Transitional Quarter		
	1977	Indefinite	7,000,000
	1978	Indefinite	5,000,000
	1979	Indefinite	6,000,000
	1980	Indefinite	6,000,000
	1981	Indefinite	6,000,000
	1982	25,500,000	Pending

Program Goals and Objectives:

The goal for this program is to carry out the development, production, evaluation, dissemination, and utilization of innovative educational television and radio programs designed to help children, youth, and adults to learn through broadcast and/or nonbroadcast modes of communication. The flexibility of this legislation has permitted the Department of Education to initiate a program broad enough to include a range of activities, from creative planning and development to production, distribution and utilization of programs which have a potential for helping people to learn.

Program Operation:

Program administration of educational television and radio programming support has awarded contracts and grants (contracts only from FY 1976 on) for television programming, including the planning, production, evaluation, dissemination, and utilization of programs such as Sesame Street and Footsteps. Utilization projects included activities and print materials designed to enhance and reinforce the effectiveness of programs used in formal and informal educational settings. The development and implementation of a series of strategies in specific community settings address the concern of parents, teachers, and others for using television and radio as postive educational force is another example of a funded activity.

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[1] Funding from 1972 through 1975 under the Cooperative Research Act, Title IV (P.L. 83-531)

[2] Impound funds released in FY 1974.

Program Scope:

In FY 1980, $2,000,000 was awarded to the Children's Television Workshop for partial support of the production of the 10th and 11th seasons of Sesame Street. An agreement was negotiated between the contractor and the Department of Education to phase-out Federal support of Sesame Street since the program is moving towards self-support. This funding will include all cost incurred in cessation of direct Federal funding of the series. The agreement also details the arrangement between the contractor and the government about Program-Related Income which the contractor will continue to receive for four years after the final contract ends.

The audience for Sesame Street is approximately 10,000,000 daily viewers. The Electric Company which is in reruns has a daily audience of about 6,000,000 The contract with CTW includes community extension services for both Sesame Street and The Electric Company and provides training for personnel working both in schools and in day care centers.

In FY 1981 $1,000,000 was transfered to the National Science Foundation for the continued support of an elementary school science and environment series. This program, 3-2-1 Contact, began broadcasting in January 1980. The program is designed to attract youth into science fields with special emphasis upon attracting minorities and women. The current effort provides partial support for the second 65 programs in the series.

The Critical Television Viewing Skills Projects completed their workshops for the training of teachers and parents in the use of television in the educational process. The goals of these projects are to provide the basis for understanding television, what makes it work, and how each individual can use it more effectively. In cooperation with the Corporation for Public Broadcasting a ten part television series was funded to reinforce the print materials through WNET, New York City.

In FY 1980, the Program funded Moving Right Along a new series, about adolescents and parents, their problems and family conflicts. WQED of Pittsburgh, PA was awarded the contract for this production. Phase I of the project was funded in FY 80 and Phase II of the project was funded in FY 81. The series will include ten, thirty-minute programs with supplemental materials for parents and teachers.

A new radio series was funded through Audience Profile Associates of Washington, D.C. This program, Almost Even is designed to attract adolescents and their parents and is part of the parenting initiative of the Department. Phase I was funded in FY 80 and Phase II in FY 81. These two new programs continue long term Departmental goals for strengthening the family and to complement the Footsteps series.

In FY 81 the Department initiated a new series on science and mathematics for the elementary grades. This project includes non-broadcast technology as well as the broadcast series. Supplemental materials will include interactive television and microcomputer programs. In FY 81 the first pilot phase of this program was funded for $650,000.

A promotional program continued to make existing programs available through sales and rental. Additional programs were encoded with captions for the hearing impaired so that the potential audience was increased to cover this handicapped population.

In FY 1979, a contract was awarded for Powerhouse, a new series on health and nutrition designed to emphasize the relation between nutrition and good health habits. This is directed towards eight to twelve year olds because there is evidence that health habits are likely to be formed during these years. $850,000 was awarded for the first phase of this production effort. $1,800,000 was allocated for the second phase in FY 1980. It is anticipated that this series will be ready for broadcast in 1982.

Materials in audiovisual format are still in high demand by public schools. For instance, the Dial A-l-c-o-h-o-l series is being used by local broadcast stations and is taped by schools which use it for discussion of the issues developed in the series. Data are difficult to obtain on the exact size of the audience for these secondary showings since we allow unlimited recording of our materials, with the exception of Sesame Street and The Electric Company. (New arrangements with Sesame Street allow for one year use of off-air recordings). Based upon utilization findings of loan and rental services it is estimated that Music...Is has at least 1,000,000 of in-school viewings, i.e., one child seeing one show in an audiovisual format. The actual figure may be double this since it is known that a number of schools have recorded the series or have bought the film version. These series are also being used by several State education departments.

Since January of 1978, all awards under this program has included a requirement for the encoding of "closed captions" for the hearing impaired. 3-2-1 Contact began its broadcast with this new system. Footsteps and Music... Is were ready in the captioned version for their reruns in 1980. Sesame Street in Season 12 will be fully captioned. For Season 11 the Children's Television Workshop is working with the National Captioning Institute to determine the best format for captioning the Sesame Street programs. All programs aired in the future under this program will include the enclosed "closed captions". Since the captioned signal will be encoded on the master tape, all programs duplicated for broadcast or cassette duplication will include closed captions.

Program Effectiveness and Progress:

Over 94 percent of the public television stations that sponsor instructional programming broadcast Music...Is and Footsteps two to six times per week during the last broadcast season. Sesame Street and The Electric Company are used for teaching English in foreign countries and for basic skills education programs in the United states.

In 1977, a national survey was conducted to assess the public's concerns about parent education and general issues surrounding future educational television programming decisions. These data were used as guidance in the production of Footsteps. Data were collected in three ways: (1) five focus group interviews in five different cities; (2) interviews with 48 professionals whose viewpoint included observation of public trends in social sciences; and (3) a representative sampling of 1300 American households. Five topics emerged as common concerns of all groups. They were: (1) parent education, child development, and family life; (2) economic/vocational skills and attitudes; (3) health and nutrition; (4) interpersonal relationships; and (5) values and morality. In general, the groups had some reservations about the ability of current television programming to deal with these topics, but expressed optimism about televison's potential to address serious social concerns. Most respondents associated good programming with public broadcasting. The study also found that good programming must include massive promotional campaigns and positive images of different kinds of people in different kinds of situations.

The Footsteps Series has been:

- Adopted as a project for the International Year Of The Child
- Recommended for viewing by the National Education Association
- Graded "A" by the National Congress of Parents and Teachers on their films report card (on a scale of A to F)
- Adopted by the General Federation of Women's Clubs as a part of their parent eduation project
- Adopted as an exemplary exhibit for the International Education Exposition in Geneva, Switzerland
- Adopted as a National 4-H Project for teenagers

Utilization and distribution of the Footsteps program have taken many forms. Having secured off-the-air recording rights, the Division of Educational Technology encourages long term use of the shows. The following are examples of such use:

- The higher education system in Indiana broadcasts a call-in telephone panel show after each program showing on public television. Continuing education and college credits are possible.
- Churches, PTA's, and day care centers in Kentucky are setting up viewing/discussion groups.
- The Appalachian Educational Satellite System will use the shows in 13 states and will encourage home viewing with the home viewer guide, health services utilization by medical personnel, and college credit.

- The Ontario Education Communications Authority is airing the series and will duplicate and distribute copies in Canada to public stations and educational requestors at cost.

- The National Audio Visual Center of GSA has video-cassettes for sale and 16 mm films for sale and rental.

Ongoing and Planned Evaluation Studies:

A small feasibility study began in FY '81 to examine television and learning.

Source of Evaluation Data:

1. Public Broadcasting Service carriage data, (to determine percentage of use on public television stations).

2. The Federal Role in Funding Children's Television Programming, by Keith Mielke, Barry Cole, Rolland C. Johnson, Indiana University 1975.

3. Sesame Street Revisited, by Thomas D. Cook, Hilary Appleton Roos F. Conner, Ann Shaffer, Gary Tamkin, and Stephen J. Weber, Russell Sage Foundations, N.Y. 1975.

4. An Assessment of Parent Education and General Needs for Educational Television, Applied Management Sciences, Silver Spring, Md. 1977.

For further information about program operations,

Contact: Malcolm D. Davis
(202) 245-0955

For further information about studies of program effectiveness,

Contact: Arthur S. Kirschenbaum
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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Metric Education

Legislation:	Expiration Date:
Public Law 95-561, Title III Part B	September 30, 1983

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1975	$ -0-	$ -0-
	1976	10,000,000	2,000,000
	1977	10,000,000	2,090,000
	1978	10,000,000	2,090,000
	1979	20,000,000	1,840,000
	1980	20,000,000	1,840,000
	1981	20,000,000	1,380,000*

Program Goals and Objectives:

The Act states that the program's purpose is to encourage and support programs to prepare students to use the metric system of measurement as part of the regular educational program. The outcomes of an effective metric education project include: improving the long term capabilities of individuals and instructional personnel of institutions to use and teach the metric system of measurement; developing or adapting new techniques and approaches to meet the educational needs of the learner population(s); including the constituents of nonprofit agencies; identifying and using local and other resources for metric education purposes; supporting new or existing metric educational activities of educational agencies and institutions; continuing and expanding successful project activities after Federal funding is ended; and evaluating metric educational activities in realizing project objectives.

Program Operations:

This program solicits proposals for grants and contracts for the following activities: (1) inservice and/or preservice training of teachers; (2) State- and multi-state metric educational planning and training; (3) mobile metric education units; (4) development and dissemination of high quality metric educational models and materials; (5) mass media development; (6) school-based interdisciplinary metric instructional projects; (7) the provision of metric educational opportunities for the constituents of non-profit groups, institutions, organizations, and agencies; and (8) for the enhancement of the National effort of the Metric Education Program effort.

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*Reflects rescised appropriation.

Program Scope:

Fiscal Year 1981 budget negotiations will be completed during the third quarter of Fiscal Year 1981. These grants will generally commence during the month of September, 1981 and will continue for a 12 month duration.

Program Effectiveness and Progress:

No evaluation of this program has been conducted.

Ongoing and Planned Evaluation Studies:

An exploratory evaluation is proposed.

Sources of Evaluation Data:

Analyses of grantee progress reports and on-site monitoring data.

For further information about program operation,

Contact: Floyd Davis
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For further information about program effectiveness,

Contact: Edward Rattner
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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name

Consumers' Education

Legislation

Title III Part E, of the Elementary and Secondary Education Act of 1965, as amended by Section 301(a) of the Education Amendments of 1978 (P.L. 95-561)

Expiration Date

Repealed Effective October 1, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1977	$ 15,000,000	$ 3,135,000
	1978	15,000,000	4,068,000
	1979	15,000,000	3,135,000
	1980	not less than $5,000,000	3,617,000
	1981	not less than $5,000,000	1,356,000
	1982	3,600,000	

Program Goals and Objectives

The enabling legislation states that this program is in response to the Congress' finding that consumer education needs to be encouraged and supported in this period of an inflated economy. More specifically, the regulations describe the program goals as developing processes by which consumers:

(1) Acquire skills to make informed decisions in the purchase of goods and services in light of personal values, maximum utilization of resources, available alternatives, ecological considerations, and changing economic conditions;

(2) Become knowledgeable about the laws, rights, and methods of recourse in order to participate effectively and self-confidently in the marketplace and take appropriate action to seek consumer redress; and

(3) Develop an understanding of the consumer-citizen role in the economic, social, and government systems and how to influence those systems to make them responsive to consumers' needs.

Program Operations

Grants are awarded to State and local educational agencies, institutions of higher education and non-profit agencies to support activities designed to:

(1) establish pilot or demonstration projects, or augment existing projects; (2) provide short-term training to prepare educators and community leaders to plan, organize, and conduct consumers' education projects or teach consumer-related subject matter; (3) establish or expand pilot or demonstration projects to serve the needs of special groups including the elderly, Native Americans, persons with limited English-speaking ability, the handicapped, and urban and rural low-income groups; (4) research, develop, pilot test, evaluate, and disseminate curricula and other activities and materials in consumers' education; and (5) provide consumers' education at the elementary, secondary and higher education levels.

Contracts are awarded to profit-making agencies and to parties listed above to support activities, usually national in scope, which meet specific needs of the Consumers' Education Program. These may be designed to: (1) research, test, assess, evaluate, and disseminate existing consumers' education activities and materials; (2) disseminate information and provide developmental and technical assistance to agencies and organizations that are planning, developing, or carrying out consumers' education projects; (3) prepare and distribute consumers' education materials by the use of mass media; and (4) support other activities necessary for the development of the Consumers' Education Program.

Program Scope

For 1980, 59 grants and 14 contracts have been awarded. Twenty four States, the District of Columbia, and the Trust territories are represented in the grants. There continue to be projects to meet the needs of low-income people, both urban and rural; to work with the elderly, the handicapped and other special groups.

The number of teachers and other people in key positions receiving instruction on trhe job is slightly higher than in previous years. Of particular interest are the projects emphasizing the consumer/citizenship role. There are ten of these types of projects, several train government people at local, state and even the Federal levels to serve more effectively consumer's needs. These projects stress procedures and techniques the various governmental agencies can use to become more sensitive and responsive to the groups these organizations were intended to serve. Other projects train people to become more effective consumer representatives on State and local boards and commissions, particularly those with regulatory and policy making responsibilities.

As the first step in a new initiative to strengthen Statewide consumer education, a series of contracts were awarded to the attorneys general offices in five-States -- Georgia, Kentucky, Maine, Maryland and Washington -- to develop a consumer catalogue of laws, regulations and other information of use to the consumer educators and residents of those States.

Special emphasis is also placed upon training and developing leader at the State and local levels. This is an integral component of the institutional capacity building priority of all projects.

One major contract was continued for its third year, the Consumer Education Resource Network (CERN). This project is the only national center for the collection and dissemination of consumer and leadership training. Several other small contracts were awarded to prepare materials on special topics of interest and value to consumers and consumer educators.

There were 713 applications for Fiscal Year 1980 seeking a total of $40,621,000. Of these 59 were funded with an average grant award of $47,250, up slightly from the previous year's average of $46,600.

At this writing 665 applications were submitted for Fiscal Year 1981, requesting $46,760,000. All were reviewed in accordance with accepted procedures and recommendations were made and approved. However, due to the recission of $2,261,000 no grants are being awarded. The contract activities planned for this year are being supplemented.

Program Effectiveness and Progress

A review of the first four years of program activities is underway which will summarize the grants in terms of the materials produced, the topics and uses for these materials, the people who were trained, the types of agencies and institutions involved, and an assessment of the current and emerging problems and issues identified in the period of time.

Ongoing and Planned Evaluation Studies

A study to determine the impact of the 300 grants awarded during the past four years is being designed and will be completed within the next year.

For further information about program operation,

Contact: Dustin W. Wilson, Jr.
(202) 426-9303

For further information about studies of program effectiveness,

Contact: Dr. Eugene Tucker
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Women's Educational Equity Act Program

Legislation:

Title IX, Part C of the Elementary and Secondary Education Act of 1965 (designated the Women's Educational Equity Act of 1978) added by the Education Amendments of 1968 (P.L. 95-561)

Expiration Date:

September 30, 1984

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1975	$ -0-	$ -0-
	1976	30,000,000	6,270,000
	1977	30,000,000	7,270,000
	1978	30,000,000	8,085,000
	1979	30,000,000	9,000,000
	1980	80,000,000	10,000,000
	1981	80,000,000	8,125,000
	1982	6,000,000	-

Program Goals and Progress:

The purpose of the program as stated in the Act are to promote educational equity for women in the United States and to provide financial assisance to enable educational agencies and institutions to meet the requirements of Title IX of the Education Amendments of 1972.

In response to the Act's intentions, the Department has defined its ultimate goals for the program as:

A) The elimination of discrimination on the basis of sex and of those elements of sex role stereotyping and sex role socialization in educational institutions and curricula which prevent full participation by women in educational programs in American society generally.

B) The achievement of responsiveness in educational institutions to the needs and concerns of women arising from inequitable educational policies and practices.

There are two program strategies to achieve these goals. The first is a program of demonstration, development, and dissemination activities of national, general, or statewide significance. The second is direct assistance to projects of local significance to support the operation of programs of equal educational opportunities for both sexes, including activities to achieve compliance with Title IX. According to the Act, this second strategy can only be undertaken when appropriations for the program exceed $15 million. Since funding has remained below this threshold, the second strategy has never been applied.

Specific operating objectives have been established for the development, demonstration, and dissemination strategy to evaluate its success in meeting the program's ultimate foals. These program objectives are as follows:

- o Develop diverse, tested model products and change strategies.
- o Produce and market the best of these model products and strategies to potential users, nationwide.
- o Demonstrate that these model products and strategies are usable, beneficial, and adaptable.
- o Specifically, demonstrate that use of the model products and strategies:
  - produces positive changes in participant's behavior, attitudes, aspirations, and awareness and in educational policy and practice;
  - fosters a conducive environment for equitable change;
  - enhances the capability of the educational system to work for and to achieve educational equity.

Program Operations:

The WEEAP is a discretionary program which may receive applications for project grants from any public agency, nonprofit organization, or individual. The applications are reviewed by panels whose makeup reflects the concerns of the program. Grants are awarded to the highest rated applications within five priority subject areas established in the program regulations, with consideration also being given to geographic distribution across education levels, and to other criteria for diversity (types of grantees, target populations, types of activity).

The program also funds a publishing service for its products through a contractor, the Education Development Center of Newton, Massachusetts. Technical assistance is provided to grantees during the product development phase of their project by both the contractor and the WEEAP staff.

Grantees develop a diverse array of model products and approaches to promoting and institutionalizing equitable educatinal policies and practices. Most items are for training educators, counselors, and administrators. Many are for use with students and adult women both in and out of school.

Grantees use part of their funds to have their products reviewed by experts or tested through trial use. They then submit revised materials to the WEEAP publishing center. The WEEA Program Director and the publishing contractor, advised by national review panels, choose the best materials to produce and market nationwide, at cost, usually under $10 per item.

Since 1979, the WEEAP has also funded five national demonstration sites. They are local school districts in Arizona, Oregon, North Carolina, Florida, and Massachusetts. The teachers, counselors, and administrators at these school-based sites are currently integrating the WEEAP products into their educational programs in combination with other educational equity resources. Beginning in 1981, educators from all over the country will be visiting the demonstration sites to observe these programs.

Program Scope:

The WEEAP received 967 (955 new, 17 continuations) grant applications for the 1980 fiscal year and allocated 70% of its $10 million appropriation to fund 70 of them. 53 were new grants and 17 were continuations of multi-year grants. The levels of education addressed by these grants ranged from preschool through adult. Half of these focused on postsecondary and adult educaitonal levels. About one-third were for elementary and secondary levels. In 1981, the WEEAP received 813 applications for new grants and allocated $625,000 of its $8.1 million appropriation to fund 16 of them; 33 continuation grants were awarded, for $5.5 million.

The priority categories for project emphases give another indication of the breadth of the program's aims. In 1980 and 1981 grants were distributed among these priorities in the amounts below:

	1980	1981
1. Title IX	25%	30%
2. Minority Women	25%	40%
3. Disabled Women	10%	15%
4. Institutional Leaders	10%	10%
5. Persistent Barriers	25%	0%
6. Other Authorized Activities	5%	5%

Program Effectiveness and Progress:

Production and sales data from the WEEAP Publishing Center indicate that the program is meeting its first two objectives of developing a broad range of products and marketing them nationwide:

- Approximately 200 different WEEAP products covering a broad range of topics are now available for distribution.

- The publishing contractor receives irders for WEEAP products at a rate of between 250 and 300 a month. They come from educational institutions and agencies at all levels, as well as from other government agencies, professional and women's organizations, private companies, and individuals.

- Every state is represented among the thousands of orders the WEEAP Publishing Center has processed since product distribution began in the third quarter of 1978.

Information on the extent to which the program is meeting its objectives for product quality and impact in the field is being gathered currently as part of the Rapid Feedback Evaluation described in the section below.

Ongoing and Planned Evaluation Studies:

The American Institutes for Research has been conducting a two-phase study of the WEEAP under the sponsorship of the Division of Program Assessment. The first phase of the study was an Evaluability Assessment which established the operating objectives for the program and analyzed the factors aiding or obstructing their achievement. The second phase, which began in February 1981, is a Rapid Feedback Evaluation which will collect data on the extent to which the objectives are being met. This second phase will be completed in

September 1981. A summary of this study may be found in Appendix B of this report.

Sources of Data:

Evaluability Assessment of the Women's Educational Equity Act Program, American Institute for Research, Pal Alto, California, (January 1981)

For further information about program operation,

Contact: Leslie Wolfe
(202) 245-2181

For further information about program effectiveness,

Contact: Robert J. Maroney
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Arts in Education Program

Legislation:

Public Law 95-561, Part C,
Title III

Expiration Date:

June 30, 1983

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1975	-0-	
	1976	Not less than 750,000	$ 750,000
	1977	Not less than 750,000	$ 1,750,000
	1978	Not less than 750,000	$ 2,000,000
	1979	Not less than 750,000	$ 3,000,000
	1980	20,000,000	$ 3,500,000
	1981	20,000,000	$ 3,150,000

Program Goals and Objectives:

The legislative intent for this program is to encourage and assist State and local educational agencies to establish programs in which the arts are an integral part of elementary and secondary school programs. The program purpose, in accordance with the published regulations, is to:

(1) Encourage the development, in students, of an aesthetic awareness in the arts

(2) Foster self-actualization and the development of communicative skills through movement, sound visual images, and verbal usage

(3) Involve each student in each school covered by the application in enjoyment, understanding, creation, and evaluation of, and participation in, the arts

(4) Address the spectrum of art forms, including at least dance, music, drama, and the visual arts

(5) Integrate these art forms into the regular educational program as distinguished from treating them on an extra-curricular or peripheral basis; and

(6) Infuse the arts into the curriculum to enhance and improve the quality of aesthetic education offered, and expand the use of the arts for cognitive and affective learning experience.

Program Operations:

Grants are awarded to State and local education agencies and with FY 80 to other public, and private non-profit organizations, institutions and agencies as well, on a competitive basis. The John F. Kennedy Center for the Performing Arts, through the Alliance for Arts Education, provides a variety of forms of technical assistance to grant applicants.

Projects funded tend to combine a variety of activities designed to integrate an appreciation of the arts with educational practices. These activities focus on students as well as on teachers (e.g., through training programs) and other education practitioners (e.g., through State and local conferences).

Program Scope:

The program used some Salary and Expense monies in FY 75 to conduct regional conferences and workshops, and to assist States in planning for arts educational programs. In 1976, grants were awarded for the first time under this program using a specific appropriation of funds for Arts in Education.

The following represents the first four-year program breakdown:

	State	Local	Trust Territories	BIA 1/	Total
1976	41	44	3	1	89
1977	29	47	1	0	77
1978	41	39	0	0	80
1979	43	39	1	0	83

1/ BIA (Bureau of Indian Affairs) was ruled an ineligible applicant to the program by the Office of General Counsel of the Education Division of HEW and has therefore not ben considered for funding after this initial grant.

At the State level funded projects have generally included such activities as mini-grant programs for local school districts, Statewide conferences to promote the concept of arts in education, Statewide teacher training activities and the acceptance of a Statewide plan for the arts. At the local level projects are even more varied but have especially narrowed upon inservice teacher training, technical assistance contracts for arts consultants; training workshops and project planning research.

In the fall of 1976 Congress appropriated an additional $1 million under the program, over and above $750,000 for FY 77 grants to State and local education agencies. This additional $1 million was provided specifically for: the Alliance for Arts Education ($750,000) and the National Committee/Arts for the Handicapped ($250,000).

Beginning in 1977 the Congress has annually doubled the amount to be provided for the National Committee/Arts for the Handicapped, bringing its current appropriation for 1980 up to $1.5 million. In addition, the Congress increased Arts Education project funds by $500,000 for the FY 79. The additional funds were awarded to State and local applicants through a Request for Proposals. The purpose of the RFP will be to identify and support programs in arts education which exemplify the infusion of the arts into the basic elementary and secondary school curriculum, community involvement and cooperative planning. There were 10 awards.

Beginning with 1980, the Arts in Education Program revised its funding strategy in an effort to promote collaboration among schools and local arts resources. The FY 80 appropriation remains at $1.5 million. Larger awards (Averaging $50,000) but fewer grants will be made to projects which propose an effective management of their community arts and education resources. Involvement of such organizations as museums, performing arts companies, universities, and colleges, art councils, and parent groups are a requirement of the new program regulations. Minimum elements of consortium are established for three separate categories of competition: State, urban and rural. There were 20 awards for 1980. Under these categories:

State	Urban	Rural
3	8	9

Fourteen of those projects will receive continuation assistance for FY 81 in addition to which the program expects to make three new awards, one in each category.

Program Effectiveness and Progress:

With four years of "seed" projects now completed and the final reports submitted, certain program trends are notices. There is a growing tendency among applicants to encompass the secondary school population in an arts project. Nevertheless, the number of projects specifically designed for high school students is disproportionately small compared with the number for elementary school students. Inservice teacher training has remained the activity most often funded while funding for curriculum publishing and dissemination has increased.

Ongoing and Planned Evaluation Studies:

Data has been collected by program staff which identify the levels of education of students involved in the projects, populations to be benefited, project activities, community resources utilized, evidence of cost-sharing, by-passed groups, university participation, and the level of support of State Arts Education Alliances. By the fall of 1981, an evaluation of the four-year program will be completed by the program office.

Source of Evaluation Data:

Program Reports

For further information about program operation,

Contact: Harold Arberg
(202) 245-8912

For further information about program effectiveness,

Contact: Edward Rattner
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Law-Related Education Program

Legislation:

Part G, Title III, of thenElementary and Secondary Education Act of 1965, as amended by the Education Amendments of 1978, P.L. 95-561

Expiration Date:

September 30, 1983

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1978	$ 15,000,000	-
	1979	15,000,000	-
	1980	15,000,000	$ 1,000,000
	1981	15,000,000	1,000,000
	1982	1,000,000	-
			-

Program Goals and Objectives:

The purpose of the Law-Related Education Program is to enable children, youth and adults to become informed and effective through educational programs pertaining to the law, the legal process, and the legal system, and the fundamental principles and values on which these are based.

Law-Related Education is not legal education for lawyers or para-legals, nor does it include direct training for careers in law.

Program Operations:

The Law-Related Education program is a small, discretionary program. Law-Related Education awards are made in two discrete program categories--elementary/secondary projects and exemplary projects. In FY 1981, program priorities focused on elementary/secondary projects to assist existing law-related education programs in strengthening, expanding, and institutionalizing their efforts within elementary and secondary schools and in providing technical assistance to new or developing programs in their state or region. In addition, a few awards were made under the exemplary category to to support innovative activities at any level of education in any area authorized by the Act. These grants are designed to assist in meeting significant needs and in developing model approaches to the field.

In 1980-81, the Law-Related Education program worked closely with leaders in the field (e.g., the American Bar Association's Special Committee on Youth Education for Citizenship) to encourage the sharing of ideas and information on topics of widespread interest and concern. In addition, grantees of other federal agencies collaborated on policies and undertook complementary activities with other federal agencies such as the Office of Juvenile Justice and Delinquency Prevention.

Program Scope:

In Fiscal Year 1980, the program's first year of operation, $625,000 supported 18 program implementation projects for elementary/secondary schools; $156,753 supported 10 exemplary projects and $166,689 supported two technical assistance projects (one involving a three-member consortium). A $50,000 contract provided program grantees with assistance in evaluation.

The institutions receiving awards included six LEA's; four State governmental agencies; seven post-secondary institutions, and 13 non-profit organizations.

Ten of the 30 grants served statewide or regional projects; two are national in scope; 14 were located in urban or suburban areas; and four served rural populations. Students in the programs included elementary/secondary school children and their teachers; adults with special needs (e.g., limited English-speaking capability, handicapped, low-income), and ethnic populations (e.g., American Indian, Black, Hispanic, Asian).

Program Effectiveness and Progress:

No overall evalution study has been conducted on this program.

Ongoing and Planned Evaluation Studies:

No overall evaluation of the Law-Related Education Program has been undertaken by the Department of Education.

Sources of Evaluation Data:

Program records.

For further information about program operation,

Contact: Elizabeth C. Farquhar
(202) 472-4594

For further informaiton about program effectivenss,

Contact: Robert J. Maroney
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Institute of Museum Services

Legislation:

P.L. 94-462, Title II, Section 201 --
The Museum Services Act of 1976
P.L. 94-496 -- The Arts and Humanities
Act of 1980.

Expiration Date:

September 30, 1985

FUNDING HISTORY:	YEAR	AUTHORIZATION	APPROPRIATION
	1978	$ 25,000,000	$ 4,110,000
	1979	" 1/	7,852,000
	1980	" 1/	10,922,000
	1981	25,000,000	12,857,000
	1982	9,600,000	Not available

Program Goals and Objectives:

This program assists museums in maintaining, increasing and improving their services to the public. The Institute of Museum Services (IMS) awards grants to museums to improve their preservation of the nation's scientific, historic, and cultural heritage; to continue and expand their educational role; and to help ease the financial burden borne by them as a result of their increasing use by the public. The programs that the Institute of Museum Services undertakes are designed by the National Museum Services Board, the Institute's policy-making Board. The Institute of Museum Services is the only Federal agency to provide ongoing fiscal support to continue basic museum services in the United States.

Program Operations:

Discretionary grants are awarded for general operating support (GOS) and special projects (SP) to museums of every size and type: art, history, and science museums, zoos, aquaria, botanical gardens, arboretums, planetariums, children's, general, and specialized museums. The grant applications are reviewed by museum professionals, three per application, as well as a panel representative of the museum Services Board and then recommended for awards to the Director of IMS.

1/ Such funds as necessary.

General operating support grants (GOS) are one-year grants to utilize by museums in meeting the administrative costs of preserving, maintaining, and exhibiting their collection, and for using their collections to provide educational programs for the public.

Special projects grants (SP) are one-year grants which assist an institution in developing and carrying out exemplary educational programs, developing or demonstrating methods of conservation, or developing long-range institutional plans. IMS also awards small, one-time grants for the Museum Assessment Program which enable museums to obtain technical assistance in order to evaluate their programs and operations by generally accepted professional standards.

Program Scope:

Year	Number of Applications	Number of GOS Awards	Number of SP Awards
1978	850	243	13
1979	1718	352	51
1980	1475	366	39
1981 1/	1311	573	15

1/ In 1981, 400 additional grants were made as part of the Museum Assessment Program, therefore the total numbers of awards for 1981 was 988.

Grants are awarded in all of the fifty states and several of the territories. Grants can be for up to 435,000, or 10% of a museum's operating budget, whichever is smaller. The average size of an IMS grant is approximately $ 27,000.

Program effectiveness and Progress.

After three years of the grants program and on the basis of reports submitted by affected museums, IMS has found a number of trends among grantee institutions, particularly, that the majority of IMS' grantees use GOS funds in the area of education. Following that, grantees use IMS funds to help offset curatorial activities and general admission costs. To a lesser extent, IMS funds are used by grantee institutions for maintenance costs, exhibit preparation, security expenses, and development purposes.

Ongoing and Planned Evaluation Studies:

Program operational data.

For further information about program operation,

Contact: Mary Kahn or Kate Merlino
(202) 426-6577

For further information about program effectiveness,
Contact: Arthur Kirschenbaum
(202) 245-8877

1/ In 1981, 400 additional grants were made as part of the Museum Assessment Program, therefore, the total numbers of awards for 1981 was 988.

APPENDIX A

EVALUATION CONTRACTS ACTIVE DURING FISCAL YEAR 1981

APPENDIX A

Evaluation Contracts Active During Fiscal Year 1981

100000 Series: Elementary and Secondary Programs.........................582

300000 Series: Postsecondary Programs...589

500000 Series: Occupational, Handicapped, and Developmental Programs....................................591

700000 Series: Program Assessments..594

900000 Series: Miscellaneous...595

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                 SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF OCTOBER 19, 1981

SER.                                                                CONTRACTOR NAME,          PROJECT MONITOR  OBLIG
NO.         CONTRACT NUMBER          DESCRIPTION OF CONTRACT        LOCATION, AND TYPE,       & ORGANIZATION   DOLLARS
                                                                    START AND END DATES

1. ELEMENTARY AND SECONDARY PROGRAMS

1 75 001    300-75-0332                 EVALUATION OF THE SUSTAINING          SYSTEM DEVELOPMENT CORP.            ANDERSON J K 19873341
                                        EFFECTS OF COMPENSATORY EDUCATION     SANTA MONICA, CAL.          (P)      OPE
                                        (PRIMARILY TITLE I FUNDS WITH SOME     7/75 TO  6/82
                                        P&E AND S&E FUNDS)
  FUNDING HISTORY, FY 75:   4025604
                      76:   3149947
                      77:   3410539
                      78:   3045027
                      79:   3002516
                      80:   2775048
                      81:    564670

1 76 005    300-76-0095                 EVALUATION OF THE IMPACT OF THE       RESEARCH TRIANGLE INSTITUTE         BURNS         3751051
  COMPLETED--REPORT AVAILABLE           ESEA TITLE I MIGRANT PROGRAM          DURHAM, N. C.               (N)      OPE
                                        (TITLE I FUNDS EXCEPT $32,645 P&E      2/76 TO  3/81
                                        FUNDS IN FY 79)
  FUNDING HISTORY, FY 76:    470707
                      77:   1138151
                      78:   2075616
                      79:     66577

  77 003    300-77-0444                 DEVELOPMENT OF EVALUATION MODELS      HURON INSTITUTE                     STONEHILL      477008
  COMPLETED--REPORT AVAILABLE           FOR TITLE I PROGRAMS IN EARLY         BOSTON MASS                 (N)      OPE
                                        CHILDHOOD EDUCATION (TITLE I FUNDS)   10/77 TO  3/81
  FUNDING HISTORY, FY 77:     58885
                      78:    204078
                      79:    189049
                      80:     24996

1 77 010    300-77-0327                 A STUDY OF THE EFFECTS OF SELECTED    SYSTEM DEVELOPMENT CORP.            WEINHEIMER    2951821
                                        ESAA SUPPORTED ACTIVITIES ON INTER-   SANTA MONICA, CAL.          (P)      OPE
                                        GROUP RELATIONS AND BASIC SKILLS       8/77 TO  8/81
                                        (ESAA FUNDS)
  FUNDING HISTORY, FY 77:   1174438
                      78:   1463741
                      79:    313642

1 78 001    300-78-0437                 STUDY OF PARENTAL INVOLVEMENT IN      SYSTEM DEVELOPMENT CORP.            BURNS         2766682
                                        VARIOUS PROGRAMS (ESAA, FOLLOW THRU,  SANTA MONICA, CAL.          (P)      OPE
                                        S&E, BILINGUAL,TITLE I & P&E           9/78 TO  2/82
                                        FUNDS)
  FUNDING HISTORY, FY 78:    639158
                      79:   1309423
                      80:    601310
                      81:    216791
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                    SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF OCTOBER 19, 1981

SER.                                                                          CONTRACTOR NAME,              PROJECT MONITOR  OBLIG
NO.           CONTRACT NUMBER             DESCRIPTION OF CONTRACT            LOCATION, AND TYPE,           & ORGANIZATION   DOLLARS
                                                                              START AND END DATES

1 78 005    300-78-0489                   DEVELOPMENT OF ENTRY/EXIT CRITERIA   SWRL ED RESEARCH & DEVELOPMENT     SHOEMAKER        848593
  COMPLETED--REPORT AVAILABLE             AND ASSOCIATED ASSESSMENT PROCEDURES LOS ALAMITOS, CALIFORNIA     (N)  OPE
                                          FOR BILINGUAL EDUCATION PROJECTS      9/78 TO  3/81
                                          ($88,000 BILINGUAL & $556,885 SSE)
  FUNDING HISTORY, FY 781    644885
                      801    203708

1 78 011    300-78-0102                   AN ANALYSIS OF ISSUES IN ESEA        RMC RESEARCH CORPORATION           STONEHILL       1128072
                                          TITLE I EVALUATION AND REPORTING     MOUNTAIN VIEW, CAL.          (P)  OPE
                                          (TITLE I FUNDS)                       7/78 TO  6/82
  FUNDING HISTORY, FY 781    398755
                      791    259104
                      801    320315
                      811    149898

1 78 031    300-78-0527                   STUDY OF DISSEMINATION EFFORTS SUP-  NETWORK OF INNOVATIVE SCHOOLS      WEINHEIMER      3002585
                                          PORTING SCHOOL IMPROVEMENT           ANDOVER, MASS.               (N)  OPE
                                          ($1,519,700 DISSEM & $597,618 FOLLOW  9/78 TO 12/81
                                          THRU FUNDS IN 78, ALL DISS 79-81)
  FUNDING HISTORY, FY 781   2117318
                      791    164918
                      801    152184
                      811    568165

  79 001    300-79-0467                   A COMPREHENSIVE STUDY OF EVALUATION  NORTHWESTERN UNIVERSITY            ANDERSON J K     350000
  COMPLETED--REPORT AVAILABLE             PRACTICES AND PROCEDURES IN FEDER-   EVANSTON, ILLINOIS           (S)  OPE
  ED192466                                ALLY FUNDED ELEMENTARY AND SECONDARY  9/79 TO  6/81
                                          EDUCATION PROGRAMS
  FUNDING HISTORY, FY 791    350000

1 79 002    300-79-0696                   STUDY ON PROGRAM EVALUATION IN       NATIONAL ACADEMY OF SCIENCES       MARENUS           99900
  COMPLETED--REPORT AVAILABLE             EDUCATION                            WASHINGTON, D. C.            (N)  ODAS
                                                                                9/79 TO  1/81
  FUNDING HISTORY, FY 791     99900

1 79 117    300-79-0726                   A STUDY OF THE UTILIZATION AND       APPLIED URBANETICS, INC.           CROSSLEY         451772
                                          EFFECTS OF ALTERNATIVE MEASURES OF   WASHINGTON, D.C.             (P)  OPE
                                          COMPARABILITY (TITLE I FUNDS)         9/79 TO  8/81
  FUNDING HISTORY, FY 791    200000
                      801    177140
                      811     74632

1 79 121    300-79-0481                   OPERATION OF ESEA TITLE I TECHNICAL  RMC RESEARCH CORP.                 ANDERSON J I    1559705
                                          ASSISTANCE CENTER--REGION I (TITLE   PORTSMOUTH, N. H.            (P)  OPE
                                          I FUNDS)                             10/79 TO  9/81
  FUNDING HISTORY, FY 791    676713
                      801    882992
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SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF OCTOBER 19, 1981

SER. NO.	CONTRACT NUMBER		DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES		PROJECT MONITOR & ORGANIZATION	OBLIG DOLLARS
1 79 122	300-79-0482		OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION II (TITLE I FUNDS)	EDUCATIONAL TESTING SERVICE PRINCETON N.J. 10/79 TO 9/81	(N)	STONEHILL OPE	1165534
	FUNDING HISTORY, FY 791	475468					
	801	690066					
1 79 123	300-79-0483		OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION III (TITLE I FUNDS)	NTS RESEARCH CORP DURHAM, N.C. 10/79 TO 9/81	(N)	ANDERSON J I OPE	2049343
	FUNDING HISTORY, FY 791	917115					
	801	1132228					
1 79 124	300-79-0484		OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION IV (TITLE I FUNDS)	EDUCATIONAL TESTING SERVICE ATLANTA, GA. 10/79 TO 9/81	(N)	ANDERSON J I OPE	1320115
	FUNDING HISTORY, FY 791	465519					
	801	723728					
	811	130868					
1 79 125	300-79-0485		OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION V (TITLE I FUNDS EXCEPT $287,434 P&E FUNDS IN FY 80)	EDUCATIONAL TESTING SERVICE EVANSTON, ILL. 10/79 TO 9/81	(N)	ANDERSON J I OPE	2196357
	FUNDING HISTORY, FY 801	1320116					
	811	876241					
1 79 126	300-79-04[illegible]		OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION VI (TITLE I FUNDS	POWELL ASSOCIATES, INC. AUSTIN, TEXAS 10/79 TO 9/81	(P)	STONEHILL OPE	1194673
	FUNDING HISTORY, FY 801	1194673					
1 79 127	300-79-0487		OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION VII (TITLE I FUNDS)	AMERICAN INSTITUTES FOR RESEARCH PALO ALTO, CAL. 10/79 TO 9/81	(N)	STONEHILL OPE	1660715
	FUNDING HISTORY, FY 801	1660715					
1 79 128	300-79-0488		OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION VIII (TITLE I FUNDS)	NORTHWEST REGIONAL LABORATORY PORTLAND ORE. 10/79 TO 9/81	(N)	STONEHILL OPE	1575987
	FUNDING HISTORY, FY 791	708200					
	801	867787					
1 79 129	300-79-0489		OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION IX (TITLE I FUNDS)	NORTHWEST REGIONAL LABORATORY PORTLAND ORE. 10/79 TO 9/81	(N)	ANDERSON J I OPE	1350595
	FUNDING HISTORY, FY 791	579384					
	801	771211					

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF OCTOBER 19, 1981

SER. NO.	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES	PROJECT MONITOR & ORGANIZATION	OBLIG DOLLARS
1 79 130	300-79-0490 FUNDING HISTORY, FY 79: 503601 80: 640064	OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION X (TITLE I FUNDS)	NORTHWEST REGIONAL LABORATORY PORTLAND ORE. (N) 10/79 TO 9/81	STONEHILL OPE	1143665
1 79 201	300-79-0698 COMPLETED--REPORT AVAILABLE FUNDING HISTORY, FY 79: 120827	STUDY OF ESAA FUNDED PROGRAMS TO REDUCE DISPROPORTIONATE DISCIPLINARY ACTIONS AGAINST MINORITY STUDENTS (ESAA FUNDS)	JWK INTERNATIONAL CORP. ANNANDALE, VIRGINIA (P) 9/79 TO 1/81	LEWIS OPE	120827
1 79 302	300-79-0469 COMPLETED FUNDING HISTORY, FY 79: 9999	PREPARATION OF FOLLOW THROUGH LATER EFFECTS DATA FILES--PHILADELPHIA SCHOOLS PORTION (FOLLOW THRU FUNDS)	SCHOOL DISTRICT OF PHILADELPHIA PHILADELPHIA, PENNA. (L) 9/79 TO 11/80	BURNS OPE	9999
1 79 402	A00-79-041 FUNDING HISTORY, FY 79: 150000 80: 150000	SUPPORT OF STUDY OF SCHOOL DISTRICT USE OF EVALUATION AND TEST INFORMATION (DISSEM FUNDS PLUS $75,000 TITLE I FUNDS IN FY80)	NATIONAL INSTITUTE OF EDUCATION WASHINGTON, D.C. (F) 9/79 TO 9/82	ANDERSON J I OPE	300000
1 79 501	300-79-0040 FUNDING HISTORY, FY 79: 379837 80: 61245 81: 69074	A STUDY OF ESEA TITLE VII FUNDED AND OTHER BILINGUAL TEACHER TRAINING PROGRAMS (BILINGUAL FUNDS)	RMC RESEARCH CORPORATION MOUNTAIN VIEW, CAL. (P) 12/78 TO 9/81	OKADA OPE	510156
1 79 502	300-79-0675 FUNDING HISTORY, FY 79: 615000 80: 475984 81: 428587	EVALUATION OF THE CLASSROOM INSTRUCTION COMPONENT OF THE ESEA TITLE VII BILINGUAL EDUCATION PROGRAM (BILINGUAL FUNDS)	DEVELOPMENT ASSOCIATES ARLINGTON, VA. (P) 10/79 TO 9/82	SHOEMAKER OPE	1519571
1 80 101	300-79-0729 COMPLETED--REPORT AVAILABLE FUNDING HISTORY, FY 80: 45233	STATE REFINEMENTS TO THE ED EVALUATION AND REPORTING SYSTEM FOR ESEA TITLE I (TITLE I FUNDS)	UTAH STATE DEPT OF PUBLIC INST SALT LAKE CITY, UTAH (S) 10/79 TO 2/81	STONEHILL OPE	45233
1 80 102	300-80-0001 COMPLETED--REPORT AVAILABLE FUNDING HISTORY, FY 80: 20000	STATE REFINEMENTS TO THE ED EVALUATION AND REPORTING SYSTEM FOR ESEA TITLE I (TITLE I FUNDS)	NEW YORK STATE EDUCATION DEPT. ALBANY, NEW YORK (S) 10/79 TO 6/81	STONEHILL OPE	20000

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF OCTOBER 19, 1981

SER. NO.	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES	PROJECT MONITOR & ORGANIZATION	OBLIG DOLLARS
1 80 103	300-80-0002 FUNDING HISTORY: FY 80$ 36720	STATE REFINEMENTS TO THE ED EVALUATION AND REPORTING SYSTEM FOR ESEA TITLE I (TITLE I FUNDS)	MASSACHUSETTS STATE DEPT OF ED BOSTON, MASS (8) 3/80 TO 12/81	ANDERSON J I OPE	36720
1 80 104	300-80-0003 COMPLETED--REPORT AVAILABLE FUNDING HISTORY: FY 80$ 33245	STATE REFINEMENTS TO THE ED EVALUATION AND REPORTING SYSTEM FOR ESEA TITLE I (TITLE I FUNDS)	RHODE ISLAND DEPT OF EDUCATION PROVIDENCE, R. I. (8) 12/79 TO 2/81	ANDERSON J I OPE	33245
1 80 105	300-80-0004 COMPLETED--REPORT AVAILABLE FUNDING HISTORY. FY 80$ 50094	STATE REFINEMENTS TO THE ED EVALUATION AND REPORTING SYSTEM FOR ESEA TITLE I (TITLE I FUNDS)	ALASKA STATE DEPT OF EDUCATION JUNEAU, ALASKA (8) 11/79 TO 3/81	STONEHILL OPE	50094
1 80 106	300-80-0022 COMPLETED FUNDING HISTORY: FY 80$ 30174	STATE REFINEMENTS TO THE ED EVALUATION AND REPORTING SYSTEM FOR ESEA TITLE I (TITLE I FUNDS)	ARKANSAS DEPT OF EDUCATION LITTLE ROCK, ARKANSAS (8) 11/79 TO 10/80	ENGLISH OPE	30174
1 80 107	300-80-0024 COMPLETED--REPORT AVAILABLE FUNDING HISTORY. FY 80$ 44583	STATE REFINEMENTS TO THE ED EVALUATION AND REPORTING SYSTEM FOR ESEA TITLE I (TITLE I FUNDS)	OREGON STATE DEPT OF EDUCATION SALEM, OREGON (8) 11/79 TO 3/81	ENGLISH OPE	44583
1 80 108	300-80-0038 COMPLETED--REPORT AVAILABLE FUNDING HISTORY. FY 80$ 24927	STATE REFINEMENTS TO THE ED EVALUATION AND REPORTING SYSTEM FOR ESEA TITLE I (TITLE I FUNDS)	WISCONSIN STATE DEPT OF EDUC MADISON, WISCONSIN (8) 11/79 TO 5/81	ANDERSON J K OPE	24927
1 80 109	300-80-0053 COMPLETED--REPORT AVAILABLE FUNDING HISTORY: FY 80$ 28500	STATE REFINEMENTS TO THE ED EVALUATION AND REPORTING SYSTEM FOR ESEA TITLE I (TITLE I FUNDS)	LOUISIANA ST DEPT OF EDUCATION BATON ROUGE, LA. (8) 12/79 TO 9/81	ENGLISH OPE	28500
1 80 110	300-80-0100 COMPLETED--REPORT AVAILABLE FUNDING HISTORY. FY 80$ 39327	STATE REFINEMENTS TO THE ED EVALUATION AND REPORTING SYSTEM FOR ESEA TITLE I (TITLE I FUNDS)	PENNSYLVANIA DEPT OF EDUCATION HARRISBURG, PA. (8) 1/80 TO 3/81	ENGLISH OPE	39327
1 80 111	300-80-0107 COMPLETED--REPORT AVAILABLE FUNDING HISTORY. FY 80$ 40731	STATE REFINEMENTS TO THE ED EVALUATION AND REPORTING SYSTEM FOR ESEA TITLE I (TITLE I FUNDS)	INDIANA STATE BOARD OF EDUC INDIANAPOLIS, INDIANA (8) 1/80 TO 3/81	ENGLISH OPE	40731
1 80 112	300-80-0114 FUNDING HISTORY: FY 80$ 76442	STATE REFINEMENTS TO THE ED EVALUATION AND REPORTING SYSTEM FOR ESEA TITLE I (TITLE I FUNDS)	TENNESSEE ST DEPT OF EDUCATION NASHVILLE, TENN. (8) 4/80 TO 6/81	ANDERSON J K OPE	76442

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF OCTOBER 19, 1981

SER. NO.	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES	PROJECT MONITOR & ORGANIZATION	OBLIG DOLLARS
1 80 113	300-80-0401	A DESCRIPTION OF STATE MANAGEMENT PRACTICES IN ESEA TITLE I (TITLE I FUNDS	AMERICAN INSTITUTES FOR RESEARCH PALO ALTO, CAL. (N) 6/80 TO 6/82	ANDERSON J I OPE	633853
FUNDING HISTORY, FY 801 633853					
1 80 11[illegible]	300-80-0933	A DESCRIPTION OF ESEA TITLE I DISTRICT PROGRAMS SINCE 1970 (TITLE I FUNDS)	ADVANCED TECHNOLOGY INC MCLEAN, VA. (P) 9/80 TO 9/82	ANDERSON J K OPE	487660
FUNDING HISTORY, FY 801 487660					
1 80 201	300-79-0403 COMPLETED--REPORT AVAILABLE	EVALUABILITY ASSESSMENT OF ESAA PROGRAM (OPE-FUNDED PORTION OF ABE CONTRACT) (ESAA FUNDS)	DUKE UNIVERSITY DURHAM, N. C. (S) 11/79 TO 12/80	GROVES OPE	48067
FUNDING HISTORY, FY 801 48067					
1 80 202	300-80-0821	ANALYSIS OF ESAA-FUNDED ACTIVITIES AND ESTABLISHMENT OF AN ESAA MANAGEMENT INFORMATION SYSTEM (ESAA FUNDS)	AUI POLICY RESEARCH WASHINGTON, D.C. (P) 9/80 TO 4/82	LEWIS OPE	511536
FUNDING HISTORY, FY 801 511536					
1 80 301	300-80-0861	ASSESSMENT OF THE SOCIAL IMPLICATIONS OF THE FOLLOW THROUGH PROGRAM (FOLLOW THROUGH FUNDS)	NATIONAL URBAN LEAGUE NEW YORK, N. Y. (N) 9/80 TO 5/82	BURNS OPE	987270
FUNDING HISTORY, FY 801 987270					
1 80 501	300-80-0598	DEVELOPMENT OF EVALUATION MODELS FOR ESEA TITLE VII BILINGUAL EDUCATION MODELS (BILINGUAL FUNDS)	INTERAMERICA RESEARCH ASSOCIATES ROSSLYN, VA. (P) 6/80 TO 2/82	ENGLISH OPE	326674
FUNDING HISTORY, FY 801 210000 811 116674					
1 81 101	300-81-0269	STATE REFINEMENT TO ESEA TITLE I EVALUATION AND REPORTING SYSTEM (TITLE I FUNDS)	CALIFORNIA STATE DEPT OF EDUC SACRAMENTO, CAL. (S) 9/81 TO 8/82	ENGLISH OPE	118769
FUNDING HISTORY, FY 811 118769					
1 81 102	300-81-0271	STATE REFINEMENT TO ESEA TITLE I EVALUATION AND REPORTING SYSTEM (TITLE I FUNDS)	UTAH STATE DEPT OF PUBLIC INST SALT LAKE CITY, UTAH (S) 8/81 TO 8/82	ENGLISH OPE	98000
FUNDING HISTORY, FY 811 98000					
1 81 103	300-81-0270	STATE REFINEMENT TO ESEA TITLE I EVALUATION AND REPORTING SYSTEM (TITLE I FUNDS)	MISSOURI DEPT OF EL & SEC EDUC JEFFERSON CITY, MO. (S) 7/81 TO 5/82	ENGLISH OPE	32121
FUNDING HISTORY, FY 811 32121					

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF OCTOBER 19, 1981

SER. NO.	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES	PROJECT MONITOR & ORGANIZATION	OBLIG DOLLARS

....................SUBTOTAL ELEMENTARY AND SECONDARY PROGRAMS 57092129

FUNDING HISTORY, FY	
67-69:	0
70:	0
71:	0
72:	0
73:	0
74:	0
75:	4085600
76:	2620654
77:	5780013
78:	11410578
79:	11634026
80:	18173080
81:	3444578

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF OCTOBER 19, 1981

SER. NO.	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES		PROJECT MONITOR & ORGANIZATION	OBLIG DOLLARS
3. POSTSECONDARY PROGRAMS						
3 75 011	FUNDS TRANSFER	SUPPORT OF THE HIGHER EDUCATION PANEL (CONTINUING PROJECT)	NATIONAL SCIENCE FOUNDATION WASHINGTON, D. C. 7/74 TO 9/81	(F)	CORRALLO OPE	492044
	FUNDING HISTORY, FY 751 761 771 781 791 801	63442 62900 70000 77190 77250 141262				
3 78 006 REPORT AVAILABLE	300-78-0208	SURVEY OF PARENTS OF HIGH SCHOOL SENIORS AND SOPHOMORES (OPE FUNDED PORTION OF NCES CONTRACT)	NATL OPINION RESEARCH CORP. CHICAGO, ILL. 9/78 TO 9/81	(N)	BART OPE	508567
	FUNDING HISTORY, FY 781 791	59601 448966				
3 78 010	300-78-0356	EVALUATION OF THE SPECIAL SERVICES FOR DISADVANTAGED STUDENTS PROGRAM	SYSTEM DEVELOPMENT CORP. SANTA MONICA, CAL. 9/78 TO 7/82	(P)	BERLS OPE	1433185
	FUNDING HISTORY, FY 781 801	995263 437922				
3 79 001	300-79-0776	THE FINANCIALLY DISTRESSED INSTITUTION	AMERICAN COUNCIL ON EDUCATION WASHINGTON D.C. 9/79 TO 9/81	(N)	CORRALLO OPE	288820
	FUNDING HISTORY, FY 791	288820				
3 79 002	300-79-0777	EVALUATION OF THE LANGUAGE TRAINING AND AREA STUDIES PROGRAM	THE RAND CORPORATION SANTA MONICA CAL. 10/79 TO 5/82	(N)	BERLS OPE	547571
	FUNDING HISTORY, FY 791 801	483423 64148				
3 79 003	300-79-0823	INDEBTEDNESS TO FINANCE POSTSECONDARY EDUCATION	EDUCATIONAL TESTING SERVICE WASHINGTON, D.C. 9/79 TO 9/81	(N)	MORRISSEY OPE	96206
	FUNDING HISTORY, FY 791	96206				
3 79 004 COMPLETED--REPORT AVAILABLE ED	300-79-0309	STATE REGULATORY AGENCY FIELD TEST OF THE AIR INSTITUTIONAL REPORT FORM	AMERICAN INSTITUTES FOR RESEARCH PALO ALTO, CAL. 9/79 TO 11/80	(N)	BERLS OPE	95427
	FUNDING HISTORY, FY 791	95427				
3 80 001 COMPLETED--REPORT AVAILABLE	FUNDS TRANSFER	SUPPORT OF 1980 COOPERATIVE INSTITUTIONAL RESEARCH PROGRAM	NATIONAL INSTITUTE OF EDUCATION WASHINGTON, D.C. 7/80 TO 6/81	(F)	CORRALLO OPE	99987
	FUNDING HISTORY, FY 801	99987				

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SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF OCTOBER 19, 1981

SER.                                                                   CONTRACTOR NAME,              PROJECT MONITOR  UNLIG
NO.          CONTRACT NUMBER            DESCRIPTION OF CONTRACT        LOCATION, AND TYPE,           & ORGANIZATION   DOLLARS
                                                                       START AND END DATES

3 80 002    300-80-0834            ASSESSMENT OF THE STRENGTHENING     RESEARCH TRIANGLE INSTITUTE         CORRALLO       127561
                                   DEVELOPING INSTITUTIONS PROGRAM     DURHAM, N. C.              (N)      OPE
                                                                        9/80 TO  9/82
  FUNDING HISTORY, FY 801     127561

....................SUBTOTAL POSTSECONDARY PROGRAMS                         3689368

  FUNDING HISTORY, FY 67-691          0
                        701          0
                        711          0
                        721          0
                        731          0
                        741          0
                        751      63442
                        761      62900
                        771      76000
                        781    1132114
                        791    1490032
                        801     876000
                        811          0
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SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF OCTOBER 19, 1981

SER. NO.	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES	PROJECT MONITOR & ORGANIZATION	OBLIG DOLLARS
5. OCCUPATIONAL, HANDICAPPED, DEVELOPMNTL					
5 77 302	300-77-0460 COMPLETED--REPORT AVAILABLE ED FUNDING HISTORY, FY 77: 87986 78: 185277 79: 180491 80: 12015	AN ASSESSMENT OF THE ESAA-TV PROGRAM THROUGH AN EXAMINATION OF ITS PRODUCTION, DISTRIBUTION, AND FINANCING (ESAA FUNDS)	ABT ASSOCIATES CAMBRIDGE MASS. (P) 9/77 TO 1/81	KIRSCHENBAUM OPE	465769
5 77 502	100-76-0127&100-79-0161 FUNDING HISTORY, FY 77: 25000 78: 25000 79: 25000 80: 15000 81: 15000	PREPARATION OF COMPUTER-PREPARED TABLES FOR ANNUAL CONGRESSIONAL REPORT ON STATE USES OF FEDERAL EDUCATION FUNDS	PINKERTON COMPUTER CONSULTANTS BAILEY'S CROSSROADS, VA. (P) 2/77 TO 12/81	SPITZER OPE	105000
5 78 101	300-78-0289 FUNDING HISTORY, FY 78: 2718473 79: 140187	TEACHER CORPS PROGRAM 78 AND PROGRAM 79 EVALUATION ($2,640,473 TEACHER CORPS FUNDS IN FY 78 (TRANSFERRED TO OERI IN 1981)	STANFORD RESEARCH INSTITUTE MENLO PARK, CALIF. (N) 8/78 TO 10/81	NARAYANAN OERI	2858660
5 78 301	300-78-0572 COMPLETED--REPORT AVAILABLE ED FUNDING HISTORY, FY 78: 405000 79: 154600 80: 25862	AN EVALUATION OF TITLE I OF THE LIBRARY SERVICES AND CONSTRUCTION ACT	APPLIED MANAGEMENT SCIENCES INC SILVER SPRING, MD. (P) 9/78 TO 1/81	SHULER OPE	585462
5 78 502	300-78-0400 COMPLETED--REPORT AVAILABLE ED FUNDING HISTORY, FY 78: 119201 79: 174573 80: 28362	A STUDY OF THE INEXPENSIVE BOOK DISTRIBUTION PROGRAM (RIGHT TO READ FUNDS PLUS $54,687 P&E FUNDS IN FY 79)	GENERAL RESEARCH CORP MCLEAN, VA. (P) 9/78 TO 10/80	MAHONEY OPE	322136
5 79 201	300-79-0775 FUNDING HISTORY, FY 79: 108847 80: 360810	AN ASSESSMENT OF INSERVICE TRAINING FOR REGULAR CLASSROOM TEACHERS	APPLIED MANAGEMENT SCIENCES INC SILVER SPRING, MD. (P) 9/79 TO 9/81	KIRSCHENBAUM OPE	469657

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF OCTOBER 19, 1981

SER. NO.	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES		PROJECT MONITOR & ORGANIZATION	OBLIG DOLLARS
5 79 501	300-79-0710 COMPLETED--REPORT AVAILABLE FUNDING HISTORY: FY 79: 118459	AN ASSESMENT OF VOCATIONAL EDUCATION PROGRAMS FOR INDIAN ORGANIZATIONS AND TRIBES	COMMUNICATIONS TECHNOLOGY CORP MARLTON, NEW JERSEY 9/79 TO 11/80	(P)	SHULER OPE	118459
5 79 502	300-79-0676 COMPLETED--REPORT AVAILABLE FUNDING HISTORY, FY 79: 283295 80: 157573	EVAL OF IMPACT OF PARTS B&C PROGS & PROJS UNDER PART IV INDIAN ED ACT ($130,000 INDIAN ED FUNDS IN FY 79; $123,322 INDIAN ED FUNDS IN FY 80)	COMMUNICATIONS TECHNOLOGY CORP MARLTON, NEW JERSEY 9/79 TO 3/81	(P)	STAGG OPE	440868
5 79 503	300-79-0704 COMPLETED--REPORT AVAILABLE ED FUNDING HISTORY: FY 79: 113270 80: 62706	EVALUATION OF THE COMMUNITY EDUCATION PROGRAMS ($100,000 COMM ED FUNDS IN FY 79 & ALL COMM ED FUNDS IN FY 80)	DEVELOPMENT ASSOCIATES ARLINGTON, VIRGINIA 9/79 TO 1/81	(P)	RATTNER OPE	175976
5 79 505	300-79-0715 COMPLETED--REPORT AVAILABLE ED FUNDING HISTORY, FY 79: 50720 80: 115094 81: 16700	AN IMPACT STUDY OF PERSONNEL TRAINED BY THE USOE ALCOHOL AND DRUG EDUCATION PROGRAM (ALDA FUNDS EXCEPT $25,094 P&E IN FY80)	A. T. KEARNEY, INC. ALEXANDRIA, VIRGINIA 9/79 TO 1/81	(P)	RATTNER OPE	182514
5 80 001	300-80-0101 TERMINATED BEFORE COMPLETION FUNDING HISTORY, FY 80: 12730	STUDY OF THE SET-ASIDES FOR LIMITED-ENGLISH-SPEAKING PERSONS UNDER THE VOCATIONAL EDUCATION ACT, AS AMENDED IN 1976	JOHN J. WALSH SAN FRANCISCO, CAL. 5/80 TO 1/81	(I)	SHULER OPE	12730
5 80 504	300-80-0929 FUNDING HISTORY, FY 80: 136550	EVALUATION OF THE BASIC SKILLS IMPROVEMENT PROGRAM (BASIC SKILLS FUNDS)	KIRSCHNER ASSOCIATES WASHINGTON, D.C. 9/80 TO 9/82	(P)	KIRSCHENBAUM OPE	136550
5 80 505	300-80-0862 FUNDING HISTORY: FY 80: 326678 81: 1116740	EVALUATION OF THE IMPACT OF THE PART A PROGRAMS AND PROJECTS FUNDED UNDER TITLE IV OF THE INDIAN EDUCATION ACT (INDIAN ED FUNDS)	DEVELOPMENT ASSOCIATES ARLINGTON, VA. 9/80 TO 2/83	(P)	SHULER OPE	1443418

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                    SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF OCTOBER 19, 1981

SER.                                                                  CONTRACTOR NAME,       PROJECT MONITOR  OBLIG
NO.          CONTRACT NUMBER          DESCRIPTION OF CONTRACT       LOCATION, AND TYPE,    & ORGANIZATION   DOLLARS
                                                                  START AND END DATES

....................SUBTOTAL OCCUPATIONAL, HANDICAPPED, DEVELOPMNTL       7317207

   FUNDING HISTORY: FY 67-69:        0
                          70:        0
                          71:        0
                          72:        0
                          73:        0
                          74:        0
                          75:        0
                          76:        0
                          77:   112986
                          78:  3452951
                          79:  1349442
                          80:  1253388
                          81:  1148440
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                     SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF OCTOBER 19, 1981

SER.                                                                 CONTRACTOR NAME,            PROJECT MONITOR  OBLIG
NO.          CONTRACT NUMBER          DESCRIPTION OF CONTRACT       LOCATION, AND TYPE,         & ORGANIZATION   DOLLARS
                                                                   START AND END DATES

7. DIVISION OF PROGRAM ASSESSMENTS

7 79 001    300-79-0544              EVALUATION OF THE CAREER EDUCATION   AMERICAN INSTITUTES FOR RESEARCH   SCATES         226398
                                     INCENTIVE ACT IMPLEMENTATION         PALO ALTO, CAL.              (N)   DPA
  ED186679                           ($100,000 CAREER ED FUNDS IN FY 79   10/79 TO  7/81
                                     AND $72,000 CAREER ED FUNDS IN FY80)
  FUNDING HISTORY. FY 79:    110356
                      80:    116042

7 80 001    300-80-0600              ASSESSMENT OF THE WOMEN'S EDUCA-     AMERICAN INSTITUTES FOR RESEARCH   HABERLE        253415
                                     TIONAL EQUITY ACT PROGRAM (WEEA      PALO ALTO, CAL.              (N)   DPA
                                     FUNDS)                                7/80 TO  1/82
  FUNDING HISTORY. FY 80:     68246
                      81:    185169

7 80 002    300-80-0825              PROGRAM ANALYSIS AND PRELIMINARY     AMERICAN INSTITUTES FOR RESEARCH   SCATES         641698
                                     ASSESSMENT OF SELECTED FEDERAL       PALO ALTO, CAL.              (N)   DPA
                                     EDUCATION PROGRAMS                    9/80 TO  9/82
  FUNDING HISTORY. FY 80:    439102
                      81:    202596

7 80 003    HEW-100-79-0038          EXPLORATORY EVALUATION RE FOLLOW     APPLIED MANAGEMENT SCIENCES INC    SCATES          29873
  COMPLETED--REPORT AVAILABLE        THROUGH SERVICE PROJECTS (PROJECT    SILVER SPRING, MD.           (P)   DPA
                                     TRANSFERRED FROM HEW TO BE COM-       9/79 TO 12/80
                                     PLETED BY ED)
  FUNDING HISTORY. FY 80:     29873

.....................SUBTOTAL DIVISION OF PROGRAM ASSESSMENTS            1151384

  FUNDING HISTORY. FY 67-69:       0
                      70:          0
                      71:          0
                      72:          0
                      73:          0
                      74:          0
                      75:          0
                      76:          0
                      77:          0
                      78:          0
                      79:     110356
                      80:     653263
                      81:     387765
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                          SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF OCTOBER 19, 1981

SER.                                                                    CONTRACTOR NAME,          PROJECT MONITOR  OBLIG
NO.          CONTRACT NUMBER               DESCRIPTION OF CONTRACT     LOCATION, AND TYPE,       & ORGANIZATION   DOLLARS
                                                                       START AND END DATES

9. MISCELLANEOUS

9 77 001    HEW-100-77-0034          COMPUTER TIME IN SUPPORT OF       COMNET COMPUTER NETWORK CORP.     DEVER        1065124
                                     PLANNING AND EVALUATION PROJECTS  WASHINGTON, D.C.            (P)
                                     (INCLUDES 65000 TITLE I FUNDS IN   5/77 TO  9/81
                                     FY 80)
  FUNDING HISTORY, FY 77:    33124
                      78:   247000
                      79:   295000
                      80:   270000
                      81:   220000

..................SUBTOTAL MISCELLANEOUS                          1065124

  FUNDING HISTORY, FY 67-69:        0
                         70:        0
                         71:        0
                         72:        0
                         73:        0
                         74:        0
                         75:        0
                         76:        0
                         77:    33124
                         78:   247000
                         79:   295000
                         80:   270000
                         81:   220000
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SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF OCTOBER 19, 1981

SER. NO.	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES	PROJECT MONITOR & ORGANIZATION	OBLIG DOLLARS

..................GRAND TOTAL	74315212
FUNDING HISTORY, FY 67-691	0
691	0
701	0
711	0
721	0
731	0
741	0
751	8089042
761	2683554
771	5996123
781	16242643
791	14881656
801	21221411
811	5200783

APPENDIX B

EVALUABILITY ASSESSMENTS AND RAPID-FEEDBACK EVALUATIONS

EVALUABILITY ASSESSMENTS AND RAPID-FEEDBACK EVALUATIONS

Evaluability Assessment (EA) is designed to improve program outcomes and the evaluation process by first ensuring that a program has a solid management foundation. An EA determines what changes might be needed to make the program more manageable and accountable, the extent to which a program is ready for evaluation, and how an evaluation of the program might be most usefully conducted. A fully successful evaluability assessment results in: (1) clearly specified and agreed upon program ojbectives and activities; (2) an explicit statement of the assumptions that underlie the program; (3) a list of program performance indicators or measures that are agreed upon by those responsible for the program; and (4) management and evaluation options which may be implemented as program managers see fit.

Evaluability Assessments of Department of Education programs were begun in FY 1979. Twelve EAs of programs were initiated in FY 1979 and FY 1980, and six more were initiated during FY 1981, making a total of eighteen. Two of the early EAs were terminated before completion (Vocational Education and the National Center for Educational Statistics). Ten of the assessments had been completed as of the end of June 1981 and six were still in process. The ten completed studies covered the following programs: Bilingual Education, Career Education, Cooperative Education, Early Childhood Education for the Handicapped, Follow Through, Independent Living Centers, Institute for Museum Studies, Language Training and Area Studies, Vocational Rehabilitation, and Women's Educational Equity. Most of the EAs initiated to date have been conducted by outside evaluators under contracts monitored by Department staff.

Two Rapid-Feedback Evaluations, an optional follow-up of EAs, were also initiated in FY 1981, one on Career Education and the second on Women's Educational Equity. The first was completed in June 1981 and the second will end in November 1981. Rapid-Feedback Evaluations use readily available data to follow-up on EAs by examining the evaluable parts of a program and drawing tentative conclusions on effectiveness. These two studies are also being done under contract.

This appendix contains descriptions of the eight EA's and two Rapid-Feedback Evaluations that were either initiated or completed in FY 1981. (For information on EA's completed in previous years, refer to the FY 1980 Annual Evaluation Report, Volume II, Appendix B.) The eight programs assessed are:

Evaluability Assessments

Graduate & Professional Opportunities
Gifted and Talented
Independent Living Centers
Women's Educational Equity
Developing Institutions
Adult Education
Basic Skills Improvement
Student Services

Rapid-Feedback Evaluations

Women's Educational Equity
Career Education

Graduate and Professional Opportunities Program

An Evaluability Assessment of the Graduate and Professional Opportunities Program (G*POP) began in January and was completed in July 1981. G*POP is a relatively small discretionary program that provides funds to institutions of higher education to support 1) fellowships for qualified individuals from traditionally underrpresented groups (minorities and women) to undertake graduate and professional study and, to a lesser degree, 2) institutional activities to maintain, strengthen, and improve graduate and professional programs and to support other activities which are directly related to the fellowship program, such as recruitment, orientation, and retention of Fellows.

Goals and Objectives. The EA identified the program's ultimate social goals as well as its intermediate operating objectives that were agreed on by Federal managers and policy-makers. The long term social goals are to (1) provide access to graduate and professional education in areas of high national priority for groups who have traditionally been underrepresented in these career fields, (2) meet national employment needs for well-trained individuals, particularly minorities and women, (3) increase the representation of minorities and women in the highest level of academia, industry, and government, and (4) provide incentives to institutions of higher education to recruit, maintain and graduate minority and women students in high-quality professional and academic programs.

The intermediate objectives which must be achieved in order that the program achieve the social goals identified above are to:

- Disburse funds according to Congressional intent through an equitable and efficient grant application and review process;
- Provide high quality technical assistance to institutions of higher education to increase their commitment to equal education opportunities;
- Increase the extent and types of G*POP staff monitoring activities to enhance the performance capabilities of the participating institutions;
- Encourage cooperative arrangements among institutions that will foster successful recruitment and retention practices;
- Increase the number of minorities and women who are enrolling in and graduating from high-quality professional and graduate programs.

Most of the objectives listed above were considered to be plausible. Those for which plausibility was judged uncertain under present conditions, appear amenable to improvement with changes in current program activities.

Options. Management options for improving the administration and operation of the program and evaluation options for obtaining information on the program's effectiveness in the field will be presented to program managers. They will then determine the actions they wish to take.

Gifted and Talented Program

The Gifted and Talented Program (G&T) evaluability assessment was initiated in December 1980 and was scheduled for completion in July 1981. This program was established in the Office of Education in 1972 to promote the development and operation of programs to meet the special educational needs of gifted and talented children. The program is a complex one whose activities include both contracts and grants as well as a variety of leadership activities.

Goals and Objectives. Managers and policy-makers concur that the ultimate social goal of the program is the provision of quality educational programs which meet the special needs of gifted and talented children. The program's strategy, however, is to focus on the attainment of intermediate objectives which seem likely to lead to the ultimate objective. The evaluability assessment identified the following six such objectives for the program:

- Encourage the identification of disadvantaged G&T children;
- Increase public support of and commitment to education for the Gifted and Talented;
- Increase the capability of professionals employed in the field of education for the Gifted and Talented;
- Promote effective education practices for G&T students;
- Improve dissemination of information about effective methods and techniques for use with G&T children;
- Encourage coordination of G&T programs with other programs at the local, State, and Federal levels.

All six objectives were deemed possible to achieve, but it is not plausible to assume that all of them can be accomplished with the resources presently available for the Program.

Options. A number of options were offered to policy-makers and program managers. Management options included suggestions for improved monitoring procedures and improved dissemination strategies. An evaluation option suggested was a rapid-feedback evaluation focusing on selected objectives.

Comprehensive Services for Independent Living Program

An EA on the Comprehensive Services for Independent Living Program (IL) was initiated in November 1980 and was completed in May 1981. This program, which was authorized in fiscal year 1978, provides grants to States to provide comprehensive services for independent living. Services are designed to meet the current and future needs of individuals whose disabilities are so severe that they do not presently have the potential for employment but may benefit from vocational rehabilitation services which will enable them to live and function independently.

Goals and Objectives. The long-term objective of the IL Program is to increase the independence of handicapped individuals psychologically, physically, and if possible, vocationally. The EA identified objectives for program operations at both the Federal and local (IL Center) levels.

The Federal program objectives are to:

- Operate the grant application and review procedures fairly and efficiently;
- Increase the amount and quality of technical assistance available to projects;
- Establish cooperative agreements at the Federal level with other Federal agencies and encourage the use of such agreements at State and local levels;
- Ensure that grantees are able to gain access to generally available resources at State and local levels;
- Develop and institute data collection and monitoring procedures that are realistic in terms of the resources which can be devoted to them.

The IL center program objectives are to:

- Establish a system of necessary services through operation of Independent Living Centers;
- Involve severely handicapped individuals to a substantial degree in the policy direction and management of ILCs;
- Ensure continuing provision of services and operation of ILCs beyond the grant period.

Basic consensus was achieved on all objectives from program and policy staff, Office of Management and Budget representatives, and Congressional Committee staff members. Minor differences were expressed regarding specific means of achieving these objectives. The objectives of the IL Program were found to be plausible--they could be expected to be accomplished. Specific measures of achievement were identified for later use by the program staff.

Options. Three management and three evaluations options were proposed at the conclusion of the EA. Two of these have been or are being implemented. Program managers have 1) implemented a strategy for systematically identifying and resolving policy issues and for providing technical assistance to grantees, and 2) developed a formal data collection or measurement system that is being processed for approval and subsequent implementation. A third option, to conduct a rapid-feedback evaluation, received expressions of substantial interest. If funds were to become available, this option could also be implemented.

Women's Educational Equity Act Program

An Evaluability Assessment of the Women's Educational Equity Act Program (WEEAP) was begun in July 1980 and completed in January 1981. The Program provides discretionary grants and contracts for the purpose of promoting educational equity for women and girls at all levels of education. Funds are used for the development, dissemination, and demonstration of model projects, materials, and other approaches that target on achieving equity and eliminating sex bias in education.

Goals and Objectives. WEEAP's broad goals are: (1) to eliminate sex bias in educational institutions, programs, and curricula which prevent the full and fair participation of woment and girls in educational programs, and (2) to achieve responsiveness of educational leaders and other personnel to the needs, interests, and concerns of women arising from inequitable educational policies and practices.

The EA identified the following specific objectives to be accomplished in progressing towards these general goals:

- Develop diverse, tested model products and change strategies;
- Produce and market the best of these model products and strategies to potential users nationwide;
- Demonstrate that these model products and strategies are usable, useful, valuable, beneficial, and adaptable;
- Specifically, demonstrate that use of the model products and strategies:
    - produces positive changes in participants' behavior, attitudes, aspirations, and awareness, and in educational policy and practice;
    - fosters a conducive environment for equitable change;
    - enhances the capability of the educational system to work for and to achieve educational equity.

The study included a reveiw of the Program's current resources and administrative structure and its actual operations in the field. Based on this review, the program's objectives were found to be plausible, although the extent of accomplishment is limited by the resources currently available.

Options. The study provided management options for improving the program's administration and evaluation options for obtaining information on the program's effectiveness in the field. Several of the management options were implemented within a short time, and the first evaluation option is being implemented through a Rapid-Feedback Evaluation which began in February and was scheduled for completion in September 1981.

Developing Institutions Program

The Evaluability Assessment of the Developing Institutions Program was initiated in October 1980. It is the major portion of Phase I of a two-phase study of the program and was scheduled for completion in August 1981. Authorized by the Higher Education Act of 1965 (as amended), the Developing Institutions Program provides institutional support to strengthen developing colleges by funding programs on faculty development, curriculum, administrative improvement, and student services. Competitive awards are made to eligible institutions which enroll a substantial percentage of low-income students and which have low average expenditures per student.

Goals and Objectives. The broad goal of the program is to strengthen the academic quality of developing institutions which have the desire and potential to make a substantial contribution to the higher education resources of the Nation, but which are struggling for survival and are isolated from the main currents of academic life. The Evaluability Assessment identified the following program objectives from an analysis and review of documents (including the legislation and regulations) concerning the program:

- Enable financially-stressed institutions serving low-income students to become viable and improve their efficiency;
- Increase educational opportunities for low-income and minority students;
- Improve quality of education for such students.

Although ED program managers were knowledgable about the language of the legislation and regulations, they generally considered self-sufficiency of institutions to be an unreasonable goal to expect. The lack of consensus on the objectives of the program is highlighted by the fact that although representatives of funded institutions concurred generally with the broad goals of the legislation and regulations, their focus was on the specific objectives for which funding was awarded. They identified these as follows:

- Develop programs to provide better service for students in the community;
- Attain or retain accreditation of the institution;
- Develop vocational and career curricula;
- Improve the overall program offered by the institution;
- Develop remedial studies courses;
- Train faculty members;
- Strengthen departmental structures within institutions.

Options. A number of options are presented in the draft final report of this Evaluability Assessment which is currently under review. Management options include suggestions for improving the field-reader process and the grant-monitoring procedures. One evaluation option suggested was to make case studies of all funded activities at a representative number of institutions in order to get a better picture of the actual program.

Adult Education Program

An Evaluability Assessment of the Adult Education State Grant Program was begun in January 1981 and will be completed in September 1981. It was requested by the program managers in order to provide a foundation for an evaluation of the program's national impact, particularly in the new areas of emphasis established by the 1978 amendments to the Adult Education Act.

Goals and Objectives. The study has defined both the program's ultimate goals and its intermediate operating objectives. The three ultimate goals are to: (1) enable most adults in the program to acquire basic skills necessary to function in society, (2) enable those who so desire to continue their education to at least the level of completion of secondary school, and (3) provide them with an opportunity to secure training that will enable them to become more employable, productive, and responsible citizens.

Toward these goals, the objectives at the Federal level are to:

- Disseminate exemplary adult education products and practices;
- Administer the development/dissemination activities in a timely and efficient manner;
- Effect a significant increase in all States' capacities to implement basic education for adults;
- Administer the state grant process in a timely and efficient manner.

At the State agency level, the objectives are to:

- Identify educational needs of adults and the resources required to meet them;
- Establish education programs for all adults in the State including residents of rural areas, residents of urban areas with high unemployment, adults with limited English proficiency, institutionalized adults, and immigrants;
- Allocate a minimum of 80% of Federal funds to Basic Education;
- Expand significantly the delivery of services to adults.

The objectives for local agencies are to:

- Encourage participation through outreach and cooperative arrangements;
- Reach the least educated and most in need;
- Adopt exemplary adult education products and practices.

An analysis of the plausibility of these objectives is currently underway as part of the Evaluability Assessment. This analysis will include consideration of the feasibility of the Federal role given the current resources and existing regulations.

Options. Evaluation and management options will be presented at the close of the study. The evaluation options will be derived from the EA's identification of performance indicators and points at whcih measurements may be taken. The management options will be derived from the analysis of any administrative factors which may be reducing the plausibility of achieving the Federal objectives.

Basic Skills Improvement Program

The Evaluability Assessment of the Basic Skills Improvement Program began in mid-April and was scheduled for completion at the end of October 1981. This EA must deal with a variety of activities in examining the three major areas included in the program -- the National Basic Skills Improvement component, the State Basic Skills Improvement component, and the Educational Proficiency component. The program operations include contracts and grants and technical assistance.

Goals and Objectives. The overall goal of this Program is to improve basic-skills achievement of children, youth, and adults on a nationwide basis. The Assessment has produced a logic model and has reached the stage at which consensus is being sought on specific and measurable program objectives. A tentative list of objectives has been formulated and distributed to policy-makers and program managers for review and discussion. They are as follows:

- Disseminate and replicate successful demonstration programs;
- Coordinate basic skills education at Federal, State, and local levels;
- Increase and improve knowledge of and commitment to basic-skills instruction in the public and private sectors;
- Strengthen advocacy for basic-skills education at the Federal, State, and local levels.

During the course of the EA these objectives will be modified, sharpened, and examined for plausibility as well as measurability. The logic model will also be revised as needed.

Options. Although this study has not yet approached the stage of developing options, special attention is being given throughout the work to results which will be useful in operating the program at the State level.

Student Services Programs

The Evaluability Assessment of the Student Services Programs was initiated in May 1981 and was scheduled for completion in December 1981. The four programs which comprise Student Services, (Upward Bound, Talent Search, Special Services for the Disadvantaged, and Educational Opportunities Centers) are separate but closely related programs designed to identify and prepare disadvantaged and needy youth for successful entry into and retention in postsecondary education. The EA is especially timely because these programs have just been reauthorized by the Higher Education Amendments of 1980 which go into effect in October 1981.

Goals and Objectives. Although the study has only recently begun, some tentative goals of the four programs have been identified. These goals are to increase: (1) knowledge of postsecondary education opportunities and motivation of economically and educationally disadvantaged youth to participate, (2) secondary school completion rates, (3) readiness for and application for participation in postsecondary education, and (4) motivation and performance in appropriate postsecondary educational programs.

More specific objectives will be developed for each program through a series of interviews with program managers, policy-makers and representatives of stake-holder groups. These objectives will be examined for both plausibility and measurability. The logic model, which has already been drafted, will be revised as knowledge of the intended and the actual program increases. Function and measurement models will be developed. Finally, careful analyses of all the information gained will yield both management and evaluation options.

Career Education Incentive Act Program

A Rapid-Feedback Evaluation (RFE) of the Career Education Incentive Act Program was begun in September 1980 and was completed in June 1981. The RFE was based on an Evaluability Assessment which had been completed in August 1980 and which identified plausible and measurable objectives at the Federal, State, and local levels as well as performance indicators to measure progress toward the accomplishment of the objectives.

Focus. By using already available or easily obtainable data, the RFE was able, in a relatively short period of time, to provide information about the status of selected aspects of the program. In this evaluation, the focus was on the extent of career education implementation at each level which could be attributed to the Incentive Act, the activities selected by managers as most important in implementing the programs, and other information of interest for use in FY 1981 Congressional hearings.

The strategies employed in obtaining data relevant to program objectives were: discussions with Program staff at all three levels; review of reports received at the Federal level on the nature and extent of implementation activities at State and local levels; visits to selected State and local sites; and telephone interviews with representatives of national business, industry, and labor organizations.

Results. While the results of this brief evaluation are based only on data that were readily available and in no way represent a comprehensive picture of the status of career education in the country as a whole, it is apparent that P.L. 95-207 funds are serving the purposes envisioned by Congress when it passed the Incentive Act. In administering the program, the Office of Career Education is providing advice and assistance to individual states as well as utilizing the discretionary funds to address needs common to several, if not all, of the States (i.e., dissemination of information on exemplary projects, promoting involvement of community organizations). Moreover, OCE is playing an active role in providing national leadership, and this role has been assisted by the activities of the National Advisory Council for Career Education. States are utilizing the Incentive Act funds as prescribed in the legislation, with 80% or more being transferred to intermediate or local education agencies. At the same time, states are maintaining and even increasing their investments in career education.

Despite rather meager State-level career education staffing, State leadership is being exercised at an accelerating rate in the majority of States visited. In line with the collaborative nature of career education, substantial resources are being provided by other State and Federal education programs and by the private sector -- business, labor, industry, professional, government, civic and community organizations. In most districts where P.L. 95-207 grants have been received, the schools seem well advanced toward complete career education elements suggested by the Office of Career Education. Thus, in spite of the realtively small amount of funds available in FY 1979 for career education, substantial progress appears to have been made at the national, State, and local levels in developing commitment to career education and instilling career education into the educational system at the K-12 levels.

Women's Educational Equity Act Program

A Rapid-Feedback Evaluation (RFE) of the Women's Educational Equity Act Program (WEEAP) was begun in February 1981 as a follow-up to the Evaluability Assessment which was completed in January 1981. The EA found the program to be evaluable since its objectives are generally plausible and measurable.

Focus. The RFE is designed to collect readily-avaialbe information on selected performance indicators identified by the EA. This evaluation will focus on the level of effectiveness of WEEAP's achievement of its four objectives in the field. It will include surveys of users of WEEAP-supported materials to obtain the following: views on the materials' quality, usefulness, and impact; analysis of impact data collected by a sample of product developers; assessment of the effect of outside factors on the use and impact of WEEAP materials at the five demonstration sites in school districts; and an analysis of sales data to determine the range of product distribution.

Results. Preliminary results have been obtained in two of the above substudies as of early July. The user survey has identified the types of products preferred by users and the types of technical assistance that they require in obtaining and utilizing WEEAP materials. The analysis of impact data from selected product developers has produced illustrative information on the types of effects those products have. The collection of data was to be completed in August and the final report was to be available in September 1981.